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ABSTRACT

This document reports on an 8-part task undertaken to produce an operational planning and reporting system for a proposed Educational Extension Program (EEP) that would use management-by-objective techniques. An integrated schedule of activities was developed to extend the program from the three pilot project States to nationwide implementation and to establish a three-way operating partnership between Federal, State, and local education agencies. Procedures were developed for incorporating changes in the EEP into the schedule; and a system for reporting and data collection was devised. Forms were designed to provide the information needed for regularly monitoring the progress and problems of the participating States and for providing information to measure the development progress and the effectiveness of the EEP. Finally, three components of the EEP were defined and developed: (1) the scope required for operation and maintenance of the program; (2) the parameters for long-range monitoring; and (3) the criteria for evaluating proposals submitted by the States. (Author)

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FINAL REPORT

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EA 005 033

ED 073571

PREPARED FOR:

NATIONAL INSTITUTE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D.C.
PROJECT 2-1040

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SB3-2-0-8(a)72-C-382
TASK IX

FOREWORD

This document constitutes the deliverable product for Task IX; Contract Number SB3-2-0-8(a)72-C-382 between Evaluation Technologies, Incorporated and the United States National Institute of Education.

FINAL REPORT

Contract Number SB3-2-0-8(a)72-C-382

Between Evaluation Technologies, Incorporated (ETI) and the National Institute of Education (NIE) Washington, D.C.

Contract Period:

1 July 1972 - 16 February 1973

Contract Purpose:

Design the Operational Planning and Reporting System for the Educational Extension Program (EEP)

Project Directors:

ETI - B. G. Stahle
NIE - Robert Chesley

GENERAL

This contract was performed on a cost plus fixed fee basis. Three people were utilized by ETI to perform the contract tasks. The work was performed in ETI offices located in Suite 130, 1121 Arlington Blvd., Arlington, Virginia 22209.

The work to be performed under the contract was divided into eight technical tasks plus a final report. The tasks were:

Task I Preparation of an Integrated Schedule of the Activities to be Completed in the Development of the Educational Extension Program (EEP).

Task II Preparation of Procedures for Incorporating Additional Events into the Schedule.

Task III (a) Provision of Information to Plan and Implement a System and (b) design of a System for Goal-setting, objective identification and reporting.

Task IV	Description of Procedures for Achieving Comparable Planning/Programming of Activities.
Task V	Preparation of Procedures for Maintaining Progress Records Toward Event Completion.
Task VI	Provision of a Schedule of Events to be Completed Through the First Year of the Program and the Linking Between these Events in Terms of Time and Resources.
Task VII	Description of Reporting Procedures for Progress Reports to Include Forms Design and Preparation Instructions.
Task VIII	Design of Parameters for Monitoring the EE Program, the Scope Required for Operation and Maintenance, and the Criteria for Use in Evaluation of O & M Proposals.
Task IX	Final Report

It became apparent early in the performance that Tasks III, IV and V were best performed together as one instrument. Accordingly the results of work on these tasks was combined into one deliverable product.

The documents listed below were delivered to the government as a result of the contract work:

TASK	DOCUMENT TITLE
I	"Preparation of an Integrated Schedule of the Activities to be Completed in the Development of the Educational Extension Program"
II	"Procedures for Incorporating Additional Events into the Education Extension Program"
III, IV and V	"Educational Extension Program - A System for Reporting Data/Collection Plus Procedures for Achieving Comparable Planning/Programming and for Preparing Program Records"
VI	"A Schedule of Events to be Completed through the First Year of the Program"
VII	"Educational Extension Program Reports, Procedures and Preparation Instructions", Completed Form 83 with Supporting Statement for forms approval by Office of Management and Budget (OMB)

VIII "System Parameters for Long Range Monitoring of the EEP, Scope Required for Operation and Maintenance, and Criteria to be used in Evaluating Proposals for Operation and Maintenance of the Program"

IX "Final Report"

Performance of the contract tasks within the time frame required that the Project Director and personnel assigned to the project be rapidly oriented on the Education Extension Program, its goals, objectives, current status and progress to date. This was accomplished in several ways. First, the NIE staff concerned with the program presented an informal oral briefing. Secondly, the project director was invited to utilize office space on the NIE premises where he had access to the files of the Pilot State Programs. This was very fortunate and unabled him to rapidly become acquainted with the documents concerning the Pilot State Programs (Utah, South Carolina and Oregon) and at the same time allowed for informal contact with NIE staff members. Mr. Charles Missar provided a briefing and tour of the ERIC facilities in Washington, D.C. A tour of an Information Dissemination Operation that was on-going was made at Project RISE in Pennsylvania, where Mr. Richard Brickley and Mrs. C. Trohoski briefed the Project Director; they also briefed the other two ETI staff members later in the project. All of these steps plus the numerous volumes of related reading material made available by the NIE staff served to rapidly familiarize project personnel with the program.

OTHER FEDERAL AGENCIES VISITED

The Project Director visited the Federal Agencies listed below and received briefings concerning similiar programs in these agencies:

OEO, (State and Local Government Division)	Mr. John Crutcher Mr. Fred Winkleman
HEW, (Social Rehabilitation Services)	Mr. Griffis
U.S. Department of Agriculture	Dr. Ed Reeves

TRAVEL CONDUCTED

Dates	Agencies Visited, Location	Person(s) Contacted
July '72	Project RISE, Pennsylvania	Mr. R. Brickley Mrs. C. Trohoski
July '72	South Carolina State Education Agency (Columbia, S.C.)	Dr. W. Ellis
July '72	Rock Hill, South Carolina	Mrs. T. Cansler
July '72	North Carolina State Education Agency (Raleigh, N.C.)	Dr. G. Ingle
August '72	Oregon State Board of Education (Salem, Oregon)	Mr. G. Katagiri Mr. W. Maynard
August '72	San Mateo Education Resources Center (San Mateo, Calif.)	Mr. F. Mattas
August '72	Texas State Education Agency (Austin, Texas)	Mrs. C. Brown
August '72	Utah State Education Agency (Salt Lake City, Utah)	Dr. K. Lindsay Mrs. K. Wallentine Mr. N. Kohler
October '72	Project RISE (Pennsylvania)	Mr. R. Brickley Mrs. C. Trohoski
October '72	Kansas State Education Agency (Topeka, Kansas)	Dr. R. Herlig Mrs. J. Angell
October '72	Northern Colorado Board of Cooperative Services (Longmont, Colorado)	Mr. W. McCleary
January '73	South Carolina State Education Agency (Columbia, S.C.)	Dr. W. Ellis

Dates	Agencies Visited, Location	Person(s) Contacted
January '73	Oregon State Board of Education (Salem, Oregon)	Mr. G. Katagiri
January '73	Utah State Board of Education (Salt Lake City, Utah)	Dr. K. Lindsay
January '73	Kansas State Board of Education (Topeka, Kansas)	Dr. R. Herlig

Additional travel was originally planned to the State Education Agencies in Rhode Island, Massachusetts, and New York but those trips were found to be unnecessary and were cancelled.

All of the travel except the trips in January were used as fact finding information gathering trips and they contributed immensely to the design of the reporting/data collection system. Work on the contract tasks would have been severely hampered without them.

The January travel was used to coordinate the reporting/data collection system design and field test the report forms with experienced State Program Directors.

The reporting system was designed to facilitate conversion to an automated system at an early date without any significant change in format or content of the report. The reports will provide visibility into activities being accomplished with Federal money. Preparation of the reports will require management considerations of fund expenditures as compared with objective achievement.

The Daily Activity Report, prepared by each program participant, (1) focuses attention upon accomplishment of the program objectives and goals, (2) helps to assure participation of all different groups and (3) facilitates planning.

CHALLENGES ENCOUNTERED

A. The most difficult of all the problems encountered in the course of the work was the initial problem of interpreting the Scope of Work. This led to selection of the eight specific tasks which in retrospect could better have been done in three tasks, one task which combined our Task I, II and VI, another, that combined our Tasks III, IV, V and VIII, and a third task of preparing the report formats for OMB approval (part of Task VII).

B. The forming of the National Institute of Education from the original OE staff, although understandable, set back the work on the contract by causing extensive rewrite of completed tasks to conform with the new NIE mission and organization.

C. Difficulty was also encountered in gathering adequate data to mathmatically compute parameters to serve in helping better define the program. The data that had been collected during the Pilot Program was basically insufficient and dissimiliar. Standardizing the data collection and information gathering by the use of the two report forms designed by ETI will allow the NIE staff to compute and periodically update parameters as the program progresses.

D. Task VI presented a problem caused by lack of firm dates for the Program Announcement and the start dates of future grants. Therefore, an assumed date was used in January of 1973 and the activities from then until 30 June 73 were then planned and charted.

E. The mid-contract redirection of the program from "establishment of an on-going EEP in the states" to "3-5 more years of experimentation" resulted in considerable restudy and rewriting of contract documents.

FINAL COORDINATION (Task III, IV and V)

A final trip was made to the three Pilot States (Oregon, Utah and South Carolina) and to Kansas for the purpose of obtaining their comments and recommendations concerning the reporting/data collection system. A summary of each State's comments other than those of a minor editorial type follow:

A. South Carolina

Comments were obtained from Dr. William Ellis, and three of his associates, all of which are intimately associated with the Educational Extension Program. These comments were obtained in person by the Project Director on 10 January 1973 in Columbia, South Carolina. Their comments are summarized below:

South Carolina supports the Reporting/Data Collection System as contained in the Task III, IV and V document, with only one reservation. This reservation concerns the Daily Activity Report, and specifically South Carolina feels that the state whould have freedom of choice on "how often" this report is prepared. Dr. Ellis and associates understand that the information contained in this report must be captured if they are going to be able to prepare the Quarterly Statistical/Narrative Report. Their objection is centered around their belief that the workers in the Information Retrieval Center, particularly those performing clerical duties, could not accurately keep track of the "objectives" they were working toward.

ETI proposes as a solution to this objection that the system as written be tested on a pilot basis during the first grant period by all states receiving grants and modified after one year, if needed.

B. Oregon

Comments were obtained from Mr. George Katagiri during a personal visit on 16 January 1973. Mr. Katagiri stated that the Reporting/Data Collection System as contained in the Task III, IV and V document was acceptable to Oregon and that Oregon would be able to keep the necessary records and would be able to make the reports as required.

Mr. Katagiri stated that he thought the system was well conceived and well described by the Task III, IV and V document.

C. Utah

Comments for Utah were obtained from Dr. Kenneth Lindsay by a personal visit on 17 January 1973. Dr. Lindsay stated that Utah did not have any objections to the Reporting/Data Collection System and their associated reports. He stated that Utah would be able to complete and gather the required data and would be able to prepare the required reports.

Dr. Lindsay made several editorial recommendations concerning the Task III, IV and V document. Some of these were incorporated into the revised edition.

D. Kansas

Comments for Kansas were obtained from Dr. Richard Herlig by a personal visit on 18 January 1973. Dr. Herlig reviewed the Reporting/Data Collection System in detail with Mr. Stahle, Evaluation Technologies, Inc. He stated that Kansas will be able to complete the reports required and has no objection to the system proposed. Dr. Herlig was in fact, optimistically making plans for capturing the data using EAM equipment available to him.

E. Summary Findings

In summary, it is quite clear that the experienced states concur in the proposed Reporting/Data Collection System as described in the Task III, IV and V document. (Each of them anticipate this system being tried on an experimental basis as a part of the next series of grant awards.)

RECOMMENDED ACTIONS

A. Field Test

The next appropriate step for NIE in their efforts to establish a system to manage and gain visibility into the EEP, is to field test the Reporting/Data Collection System promulgated in the Task III, IV and V deliverable document.

The field test should also include testing of the procedures for incorporating additional events into the EEP and for requesting changes as promulgated in the Task II, deliverable product.

The field test should be all inclusive. That is, it should include testing program announcement procedures, letters of intent, proposal evaluation, grant negotiation/award, plus the preparation, receipt and processing of the Daily Activity Report and Quarterly Statistical/Narrative Reports. Additionally, an annual review should be conducted for each participating state and then finally a review and evaluation of the entire reporting/data collection system should be made with the report formats being revised if needed.

A private contractor should be hired to assist the NIE staff in this effort. Such a contract should run concurrently with the first year of the grant period. An estimated 1-1/2 to two manyears of effort would be required. The contract tasks would be to:

(1) Provide training and installation assistance to each participating state.

(2) To prepare standard operating procedures for the NIE staff to follow in receipt and processing of the EEP reports.

(3) Provide technical assistance to participating states in reporting/data collection procedures.

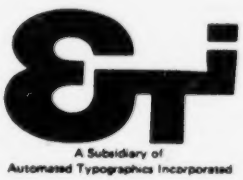
(4) Evaluate the effectiveness and impact of the EEP using the Reporting/Data Collection System.

(5) Evaluate the Reporting/Data Collection System and, in conjunction with the participating state and NIE staff, revise as needed.

(6) Following the field test period, to consolidate into one booklet a revised procedures documents describing the Reporting/Data Collection System, procedures for making changes or adding additional events, and the report formats and their preparation procedures.

B. Volunteers

NIE should experiment with the use of volunteers as a portion of the staff for the EEP. Volunteers should be trained and used both as Linking Agents and in the Retrieval Center. Several different systems should be experimented with but basically a program as outlined in ETI letter, dated Octover 6, 1972, ATI-0501, should be tried and evaluated.



PREPARATION OF AN INTEGRATED SCHEDULE OF THE ACTIVITIES TO BE COMPLETED IN THE DEVELOPMENT OF THE EDUCATIONAL EXTENSION PROGRAM

EVALUATION TECHNOLOGIES INCORPORATED

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PREPARATION OF AN INTEGRATED SCHEDULE OF THE ACTIVITIES TO BE COMPLETED IN THE DEVELOPMENT OF THE EDUCATIONAL EXTENSION PROGRAM

PREPARED FOR:

UNITED STATES NATIONAL INSTITUTE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D.C.

PREPARED BY:

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DATE PREPARED:

SEPTEMBER 1972
(REVISED DECEMBER 1972)

CONTRACT NUMBER:

SB3-2-0-8(a)-72-C-382
TASK I

FOREWORD

This document constitutes the deliverable product in satisfaction of Task I, Contract Number SB3-2-0-8(a)72-C-382 between Evaluation Technologies, Incorporated, and the United States National Institute of Education.

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ATTACHMENTS

A. Schedule of Activities to be Completed in the Development of the Educational Extension Program .....

B. List of Related Contracts/Grants .....

I. TITLE

Preparation of an Integrated Schedule of the activities to be Completed in the Development of the Educational Extension Program (EEP).

II. PURPOSE

This document presents the Schedule of Activities and an explanatory narrative.

III. SCOPE

It depicts in logical sequence those activities that must be performed in conduct of experiments concerning the Educational Extension Program. It does not include an explanation of the management structure required nor does it specify each of the steps to be taken by individual States to complete the schedule.

This product consists of three items: the narrative explanation; the first attachment entitled "Schedule of Activities to be Completed in the Development of the Education Extension Program;" and a second attachment that identifies grants that relate to this program.

IV. NARRATIVE EXPLANATION

A. General

The schedule has been divided into three phases for ease in administration, control and understanding. These phases are:

Phase I: Concept through Pilot Program Evaluation (Completed)
Phase II: Program Planning through Grant Award
Phase III: Program Experimentation (1 - 5 Years)

The activities to conduct the program are shown graphically on Attachment A, which was prepared to provide a better view of the activities that need to be performed.

B. Schedule of Activities

This chart depicts the Schedule of Activities to be Completed. It was prepared using the three phases as a basis.

Phase I of this program has, of course, been completed. Phase II is in progress. The arrow-type blocks with numbers in them shown on the schedule indicate where each of OE's current contracts fits into the program. These numbers are the BR numbers. A list of related contracts/grants cross-referenced by BR numbers is at Attachment B.

Phase III depicts the steps that must be completed during the conduct of various experimental programs in selected states. These steps provide for establishment and operation of an information retrieval system and a linking program in each state. Both of these programs may vary according to the hypothesis to be tested in various states. For example, one state may have full time paid Extension Agents and another may not have Agents at all. Naturally, variations of hypothesis determine which and how many of the steps shown must be performed.

PHASE II

EEP PLANNING (NIE)

NIE plans for the EEP Program will consist of several identifiable plans or tasks that must be accomplished to achieve NIE goals. These are:

1) Development of hypothesis to be tested.
2) Preparation of a financial plan.
3) Preparation of a reporting/data collection plan.
4) Preparation of a technical assistance plan.
5) Preparation of a training and agent selection plan.
6) Preparation of an evaluation plan.
7) Development of a plan to integrate the EEP with other Federal programs both on-going and planned.

EXPERIMENTAL HYPOTHESIS

This portion of the plan represents the real purpose of the effort. It is necessary that each hypothesis to be experimented with and tested be carefully considered and then clearly stated. This plan should contain a statement of each hypothesis, the rationale for its selection, the expected results, positive or negative, and the means of recognizing results. Each stated hypothesis must also identify the parameters that should exist in the State which it is to be tested in. These parameters should be definitive enough to enable selection of the proper environment for the experiment.

FINANCE PLAN

This is the plan that NIE must prepare to provide for continuous funding of the Education Extension Programs in each state. The total

plan will consist of three basic parts, the audit plan, the funding plan and NIE's budget preparation. These will provide for program funding, NIE's own budget preparation and for the recurring audit of expenditures.

REPORTING/DATA COLLECTION PLAN

This plan will provide the means NIE will use to obtain the management information needed to perpetuate the control system and to monitor program resource expenditures and progress.

TECHNICAL ASSISTANCE

This is an essential part of NIE's Program. It will contain details of NIE plans to provide technical assistance throughout the program life. Technical Assistance in this context refers to the assistance provided in the installation of a computerized Information Retrieval System in each state. It includes but is not limited to assistance in systems design, programming, consultant services and other purely technical help.

The Technical Assistance Program must be flexible enough to adapt to different situations in different states and locales. The pilot program experience indicates that much time, money and effort was spent in installation of a suitable search program. NIE must plan for the resources and time table to assist in this installation. A standard computerized package should be considered for procurement and installation with whatever modification may be necessary to meet the requirement of local hardware.

It is clear that to be effective the linking agent must be able to produce results immediately. To do this requires backing by an effective Information Retrieval System. Our research indicates that the toughest tasks each state will have is getting a computerized search capability in operation. Accordingly, this offers a perfect

place for the application of federal funds and assistance. NIE should take the initiative to fill this need and provide a positive technical assistance plan.

TRAINING PLAN

The training plan must provide for training of linking agents if used, plus management and personnel assigned to the Information Retrieval Centers. The training program that is available to participating states must be published for their timely use and must spell out how training assistance can be obtained.

The training plan must include a well planned seminar program. This is a program that will provide scheduled seminars or a planned variety of cogent subjects at different times and locations. These seminars must be planned to fit the development of the experimental State programs. These goals will be to provide a lateral transfer of information between States based upon experience. This is to be aimed at reducing the need for everyone to solve the same difficulties independently. The program must include topics for management, linking agents and retrieval center personnel. This program will be an effective tool in achieving federal goals/objectives provided a dynamic well planned program is developed.

EVALUATION PLAN

The evaluation plan must address four distinct areas. These are, (1) evaluation of the EEP impact, (2) an annual program review of each participating State, (3) evaluation criteria of the proposals submitted by each State, and (4) an evaluation of the results of the experiment being conducted in that particular state. The entire EEP must be evaluated to determine its impact upon education and to evaluate the methods used. This evaluation must be such that it will feed back information to the Federal Government that will facilitate management decisions concerning program modification/redirection and a reallocation of resources.

The annual program review will serve two main purposes. First, it provides the vehicle for the Federal Government to carefully examine the experiment in each State once a year. Secondly, it will afford the Government an opportunity to assist guidance and direction into the program and then to measure results. The details of the annual review should be contained in the plan to provide planning guidance for participating States.

Proposal evaluation criteria must be published in writing to each state to provide a fair and equitable basis for competitive award of grants.

AGENT SELECTION CRITERIA

Guidance in agent selection should be based upon: (1) pilot State experience; (2) research conducted on this subject under NIE direction; and (3) the program objectives/goals. It will spell out how federal funds are to be used for this purpose and how assistance can be obtained, plus the limitations and timing involved. These criteria are part of the training plan being developed by NIE.

INTEGRATION OF OTHER PROGRAMS

Utilization of the products derived from the ERIC program and its clearinghouse contracts is an example of the integration of other federal programs. This and other programs that have or could have a serious impact upon the EEP must be monitored and integrated with the program.

PROPOSALS

Proposal preparation assistance must be provided to each State upon request. Such assistance must be in writing and should consist of an itemization of the topics that must be addressed in the proposal plus the criteria that will be used to evaluate it. Advance preparation

of this written direction is required. It should be provided to the States as a package upon receipt of their letters of intent.

Proposals will be evaluated by external readers and also by NIE staff. Site verification is added as a part of the evaluation process for some experimental programs. It should only be used selectively to resolve doubtful cases.

Grant negotiation is a scheduled activity to insure conformity with NIE and other federal policies, and to provide understanding of technical direction and objectives.

GRANT AWARDS

Experimental Grants will be made by the National Institute of Education for up to 3-5 years on a yearly basis. Grants will vary depending upon the hypothesis to be tested and the capabilities already existing in each State. Grants may be renewed annually by preparation of subsequent proposals to NIE.

PHASE III

EXPERIMENTAL PROGRAMS

STATE ACTION PROGRAM

This is the State program concerned with and dedicated to the implementation of the Educational Extension Program within the State. It must be partially developed during the proposal phase. It is the responsibility of the Senior Executive within the State Education Agency, as stipulated in the grant award.

The program contains plans that integrate related State programs with the EEP, monitors State legislation that would or could affect the goals and objectives of the EEP and establishes the operation and maintenance criteria for the State program.

Using this base the State Action Program, with technical assistance from NIE, establishes the Linking Agent Program and the Information Retrieval System, and publicizes and manages the program.

The Linking Program must include a target area selection, facilities selection, administrative support, establishment of the chain of authority and reporting channels, and requirements for record keeping. The State Director plans for NIE training assistance. If an Education Extension program with a full-time Agent is decided upon the Agent selection criteria must be determined. the job announced, and agents hired for the jobs. The director establishes a plan to evaluate the linking program.

Each state should develop an Information Retrieval System. The nuclei for such a system will undoubtedly be found in various stages of development in each State. A workable system must be operational and capable of producing results at the time of agent insertion or program announcement. The State Action Program must plan for initiation of this capability if it does not already exist, its expansion and multi-mode capability, and the funding support for it. It should serve the

school system itself and effectively utilize other State and national facilities to augment its capability.

The State Director must publicize the EEP. This must be done along at least two thrusts. First, the Information Retrieval System requires continuous publicity to acquire clientele. The second thrust must be aimed at publicizing the linking program, its capabilities and service.

Naturally both thrusts are aimed at promoting the EEP and should be planned to complement each other with this goal in mind.

EXPERIMENT EVALUATION/REDIRECTION PLAN

During preparation of its proposal for a renewal grant, each state must, in its planning, consider and prepare for development of the EEP to meet Federal objectives. This should be formalized into a Plan which specifies the steps to be taken, the counties or districts to be included, plus a plan to extend the Information Retrieval System program or at least the service these systems provide.

The Plan must be reconsidered and updated each year on the basis of accomplishments, funds available, State priorities, and Federal objectives.

ANNUAL AUDIT

The EEP in each State must be audited annually. Such an audit can be performed either by State appointed auditors or by Federal auditors as agreed upon in the grant with NIE. Copies of all audits must be provided to the NIE Contracting Office.

ANNUAL FUNDING REQUIREMENT

This represents the activity that each State must perform annually in preparing the funding requirement for the next year. It will include a determination as to (1) the program's total requirements; (2) the amount provided by the State; (3) the amount provided by other sources;

and (4) the amount of Federal funding required.

This activity will result in funding requests to the State, the Federal Government, or both.

ANNUAL PROGRAM REVIEW

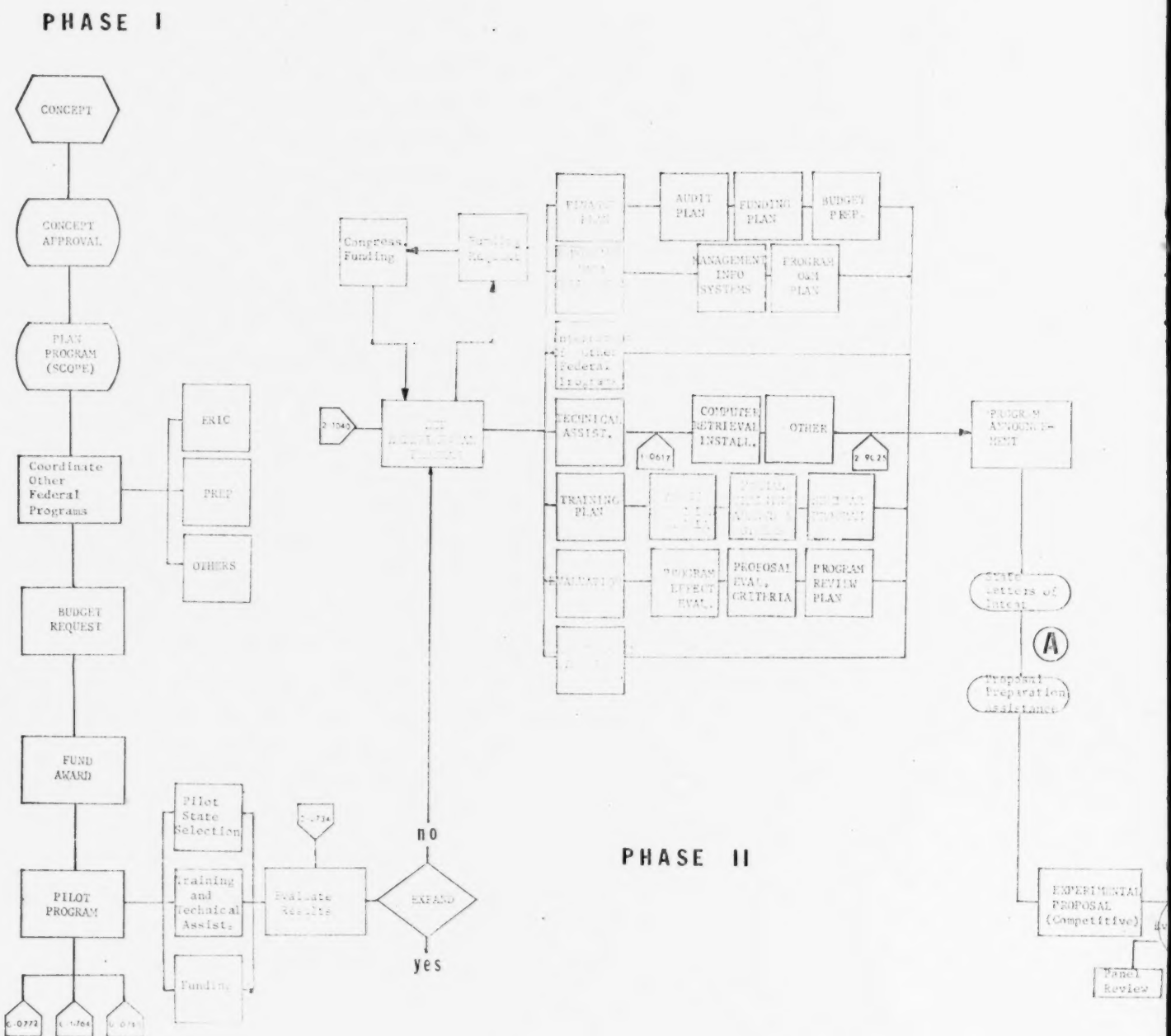
As a part of the Federal Evaluation an annual program review will be conducted for each participating State. This activity is scheduled to afford both the State and NIE for (1) an objective appraisal of the progress made to date and (2) a determination of the best course for the future. This review will be conducted by NIE staff.

Other NIE contracts that provide assistance and support the experimental program are shown by BR numbers on Attachment A.

RENEWAL PROPOSALS

A decision to request renewal of the grant for continuation of the experiment must be made annually by each participating State Education Agency. These proposals will be submitted to the National Institute of Education containing justification for grant renewal as stated in NIE's Annual Program Guidance document.

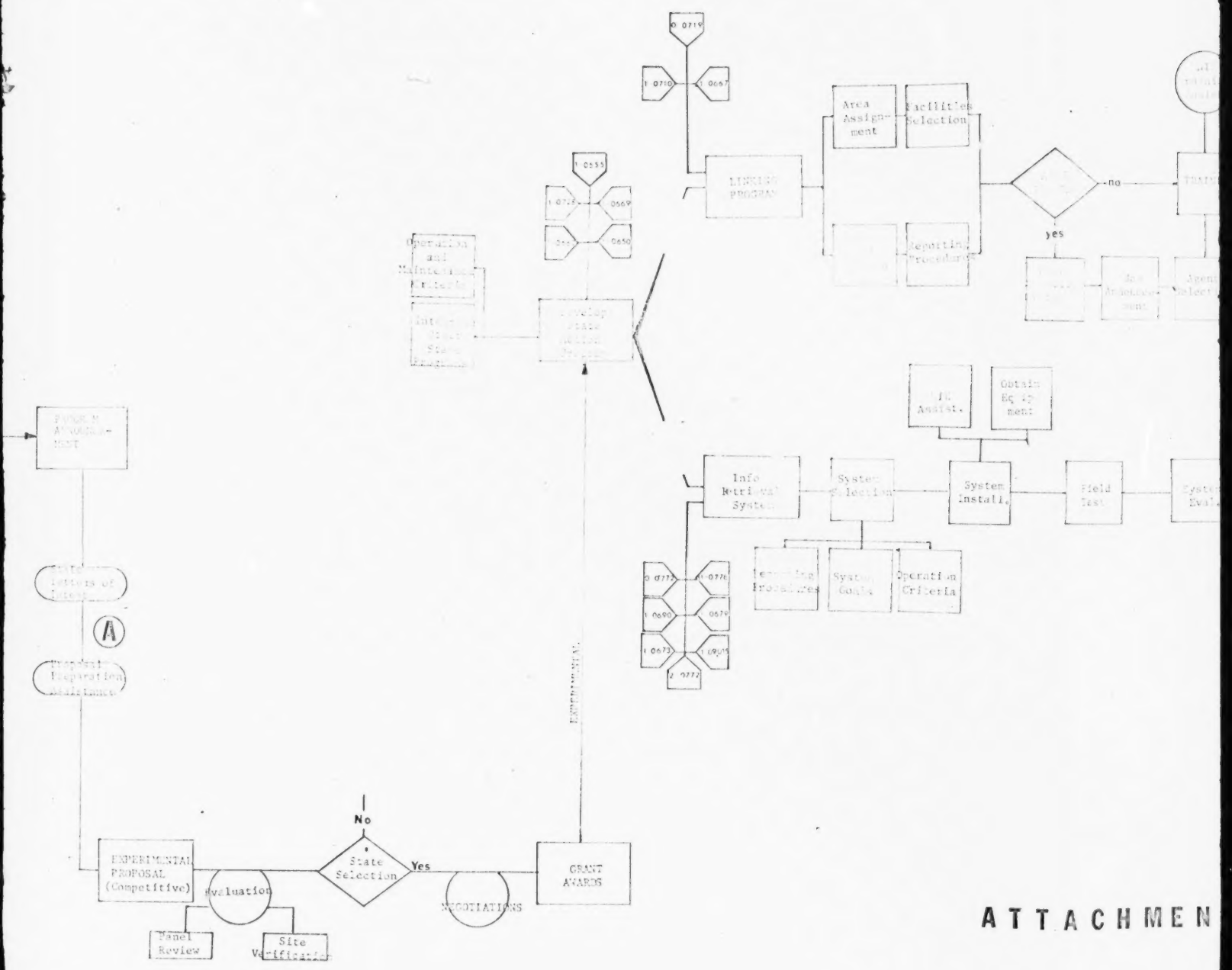
SCHEDULE OF ACTIVITIES TO BE COMPLETE
IN THE DEVELOPMENT OF THE
EDUCATION EXTENSION PROGRAM



COMPLETED

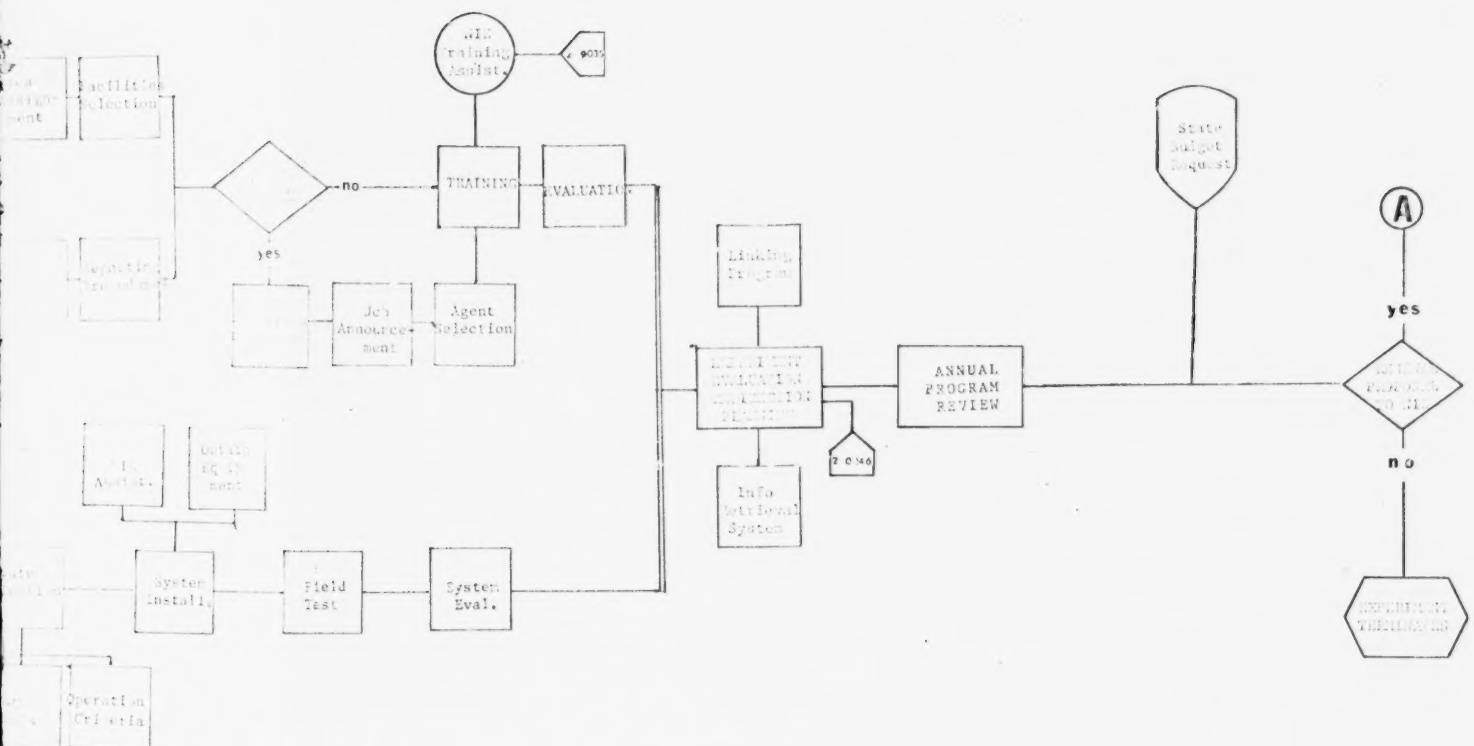
GRAM

PHASE III



ATTACHMEN

PHASE III



ATTACHMENT A

NUMBER OF RELATED N.I.E. CONTRACT

ATTACHMENT B

RELATED NIE CONTRACTS

BR#	PROJECT TITLE	PHASE
0-0734	Evaluation of Pilot State Dissemination Program	1
0-0748	Technical Assistance to Rural Schools in Knowledge Utilization	1
0-0764	Oregon Pilot State Dissemination Program	1
0-0772	S.C. Pilot Program for Information Dissemination	1
1-0617	Developing a "Sensing Network" for Information Needs in Education	2
1-0650	Project Communicate: Kansas State Department of Education	3
1-0655	Project to Develop an R&D Information Network of Joint County Schools (Iowa)	3
1-0662	Local Information Network of Knowledge for Educational Renewal (LINKER) (Merrimack Ed. Center)	3
1-0667	Training Program (Brickley - RISE)	3
1-0669	Reading Research Utilization And RIC project for teacher and other field personnel	3
1-0673	Model Local Information Center for Rural Regions	3
1-0690	Massachusetts State Education Information Center Network	3
1-0710	To develop and validate operationally 3 alternative forms of a Transportable Instructional System for Training in the Processes of Educational Information Consultant Role	3

BR#	PROJECT TITLE	PHASE
1-0728	State Educational Information Center Improvement (Florida)	3
1-0778	Texas Informational Service Project	3
2-0772	Planning State Information Unit (R.I.)	3
2-1040	Design for the Operational Planning and Reporting System for the EEP	1
2-9035	Design and Training of EEP	2
2-0046	Study of State Dissemination Practice	

Contract Whose Relevance to the EEP is questionable:

1-09015	ERIC File Partition

PROCEDURES

FOR

INCORPORATING ADDITIONAL EVENTS

INTO THE

EDUCATIONAL EXTENSION PROGRAM

EVALUATION TECHNOLOGIES INCORPORATED

Suite 130, 1121 Arlington Blvd. ● Arlington, Va. 22209 ● (703) 525-5818

Procedures

for

Incorporating Additional Events

into the

Educational Extension Program

Prepared for:

United States National Institute of Education

Department of Health, Education, and Welfare

Washington, D.C.

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(Task II)

FOREWORD

This document constitutes the deliverable product in satisfaction of Task II, Contract Number SB3-2-0-8(a)72-C-382 between Evaluation Technologies, Incorporated, and the United States National Institute of Education.

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I. Introduction

PURPOSE

From time to time changes will need to be made in the Education Extension Program (EEP). The purpose of this paper is to outline procedures for incorporating these additional events into the schedule. Following a standardized procedure will provide the easiest process for incorporating change by insuring communication and by encouraging cooperation between the state, federal and local parties responsible for the Educational Extension Programs.

SCOPE

Ideas for additional events in the Educational Extension Program can come from a full range of sources: a local resident, agent, State Board of Education (SEA), National Institute of Education (NIE), other government departments, or even uninvolved observers; however, the responsible parties for incorporating these events into the program are the EEP Director at the State level, and NIE at the national level.

The proposal for incorporating additional events must reflect the philosophy of management by objectives, and it must include all the items listed in this paper in the sections on REQUIREMENTS. The proposed changes must coordinate with national, state, and local developments in education, and be timed to fit the experimental objectives of the EEP. Procedures for incorporating all additional events in the EEP program are presented in this paper.

DEFINITION OF TERMS

Additional Events: This term is used broadly to include any changes in the EEP. They may be additions, modifications, or cancellations of the EEP as planned. An additional event is anything which is not included in the Integrated Schedule of Activities to be completed in the development of the EEP.

Director: The person on the staff of the SEA who oversees the total EEP, the agents and the Retrieval Center.

EEP: Educational Extension Program; it is spoken of in terms of the individual program in each state.

Lattice: A graphic format for picturing management by objectives. A lattice establishes a hierarchy whereby individual activities are shown to be contributing toward products which build towards the objectives and goals of a program.

Phases: These are the major divisions in the development of the EEP.

Phase I: Concept through Pilot Program Evaluation (Completed)

Phase II: Program Planning through Grant Award

Phase III: Experimental Programs (1 - 5 Years)

II. Management by Objectives

This section describes the over-riding philosophy with which the proposal for an additional event must be developed and described to others involved in the EEP. The point is to design activities which will be in line with the goals of the project, and to design objectives which are capable of being achieved:

Goal: An abstract ideal that should always be strived for, but probably never achieved as it continually supplants itself, such as "A greater education for our students."

Objective: A realizable item to be achieved such as "A progressive rise in reading scores of third graders over a five year period in Adams county," or "A new system developed for processing student enrollments using current personnel, such that it will take only 2 days to process one student."

Product: The item that is developed and provides evidence of completion of activity, such as "A Management Plan developed," "A Form for requesting ERIC information designed," or "Agent training program conducted."

Activity: These, collectively, are the tasks which must be done to produce a document, plan, or product.

An objective of a program states the purpose or reason for the series of inter-related activities. A well-stated objective implies criteria which can be measured at a later date to determine the success of the activity. An example of an objective with measurable criteria:

> Objective: The installment of at least one microfiche reader in each of the state's twenty counties within one year's time.

Preferably, measurable criteria would include a pre-test of the target population in order to have a beginning point from which to measure or evaluate the success of the project. Thus, at the onset, objectives should imply measurable criteria in order that a pre-test be made of the situation, that goals be well-defined, and that criteria exist for an evaluation at the end of the project.

In our example:

> At the beginning of the year: Three microfiche readers were already installed in each of three counties.
> At the end of the year: Fifteen microfiche readers were installed in ten of the state's counties.

In terms of the stated objective, and criterion, the success of the year's activity is obvious.

Through the course of the year, a periodic self-appraisal should be made. A measurment of achievement at pre-determined times would show if progress is being made at the expected rate. These are benchmarks. Bench-

marks have a specific time for self-appraisal and a specific criterion or item to measure.

For example:

> Benchmark: At the end of six months, microfiche readers will have been installed in at least seven counties, and ordered for the other thirteen.

The measurement of cost effectiveness is another tool in evaluating the worth of a proposed additional event. In our example, the cost of buying a hard copy (in printed form) of each report requested from ERIC is much more than the cost of providing microfiche and reader-printers.

Example:

> One microfiche reader-printer costs $500, lasts ten years, and is used to read approximately 50 documents per month in the first year. The cost of the microfiche for the 50 documents is $32.50. The turn-around time is two weeks, making a total cost per month of $37.74. ($4.16 for the machine, $32.50 for the microfiche.)
>
> Hard copy for those 50 reports is $164.50, and turn-around time is four to six weeks (to include ordering reports from individual publishers). Total cost per month is $164.50.

Thus, the dollar value of the benefit $164.50 as compared to the cost $37.74 provides $126.76 to the good, and the benefit of the reader-printer more than justifies its cost.

Finally, an objective and its activities must have a time frame of its own which will coordinate with the timing of the total development of the EEP.

For example:

> Time end date: Microfiche readers must be installed before educators receive microfiche from the retrieval centers. (Seven counties will have access to ERIC's microfiche in January.)
>
> Time begin date: Appropriations for the machines will be authorized in November.

Obviously, the time frame for ordering and installing the readers is between November and January for those seven counties.

In summary, any proposal for an additional event in the EEP should include these items:

Stated Goals in harmony with NIE and SEA goals.

Objectives which can be achieved and measured.

Products and a date by which they should be finished.

Activities which must be known in order to estimate the cost and time that will be required.

Lattice (optional but helpful) to put the above items into context.

Measurable Criteria to use to evaluate the success of the project.

Benchmarks of the specific mid-points or dates in the project and the expected level of achievement on those dates.

Cost Effectiveness, the cost of the proposed change compared to the benefit of the change stated in dollar terms.

Time Frame within which the change must be made in order to merge smoothly into the on-going development of the EEP.

These items, which provide the basic philosophy behind the development of any program, are the essential elements of Management by Objectives.

III. Procedures

CATEGORIZING ADDITIONAL EVENTS

An Additional Event is any change from the planned program as outlined in the state's Integrated Schedule of Activities. Events may be additions, cancellations or modifications.

There exists a wide variety of additional events which the pilot states have incorporated into the Educational Extension Programs. Some examples are: a teacher in-service television program; a decision to charge the client for any hard copies requested; conducting a "Needs Assessment" in a district; or adding a "Communications Specialist" to the staff and proposing his or her salary be paid by Title I funds.

During their first year and a half of development, the three pilot states incorporated seventy-five additional events into their programs. The variety and number of additional events require that changes be developed individually. Each state's needs, common sense, and a reliance on Management by Objectives provide the guidelines for efficiently incorporating an additional event into the state's EEP.

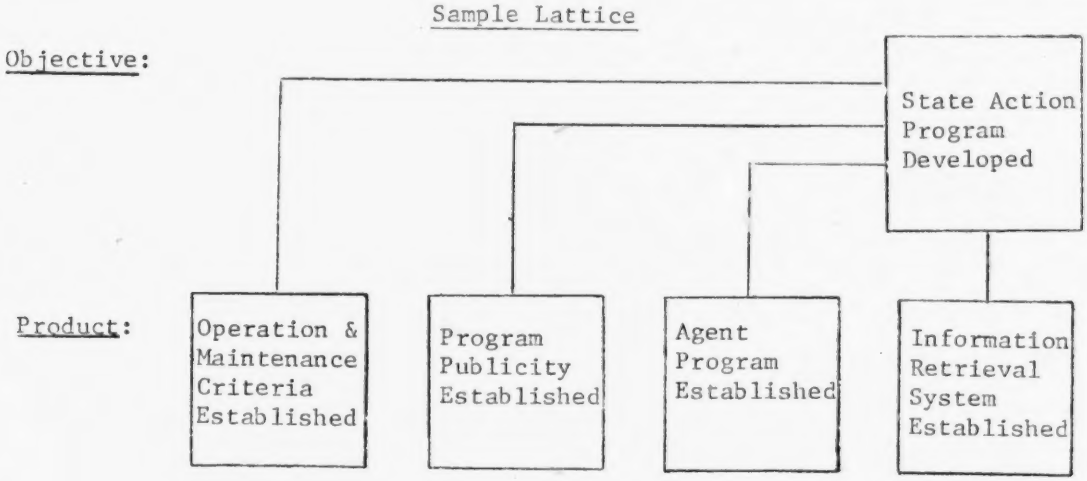
To categorize these events and smoothly integrate them into the scheduled development of the program, a sequence of factors must be determined. Using a lattice of program development activities greatly eases the integrating of a new event.

---

* See Appendix A: Developing a Lattice.

FIRST: Determine which state objective for the EEP this activity would support. This is a key question, because if the proposed event does not reinforce an EEP objective, then it probably will not contribute toward the goals of the program as it now exists.

Sample Lattice



Using the above example, the logical question is: Will the event help develop the State Action Program? Once it is decided that the event will contribute towards the development of an EEP's products and objectives, then:

SECOND: Identify the event's major field of activity. Is it

Training Agents?

Publicizing the Program?

Establishing the Retrieval Center?

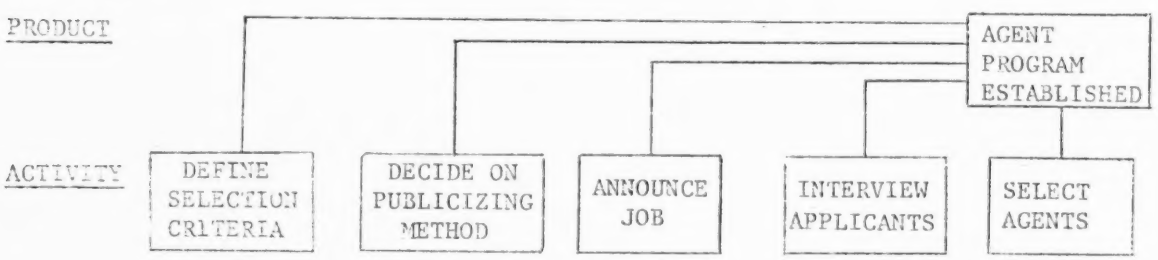
Designing the Operation and Maintenance Criteria?

Each of those products is obviously made of many smaller activities. For instance, to establish the Agent Program, these individual activities were required:

1. Write a job description
2. Define criteria for agent selection
3. Decide on the methods for publicizing the vacancy
4. Release the job announcement
5. Interview applicants
6. Select the agents. . .

In a lattice, in sequence, these would appear:

(Example II)



THIRD: Establish in the sequence of tasks, when the new event must be incorporated. Determine what must be completed before the event can be added, such as:

Is backup information sufficiently developed?

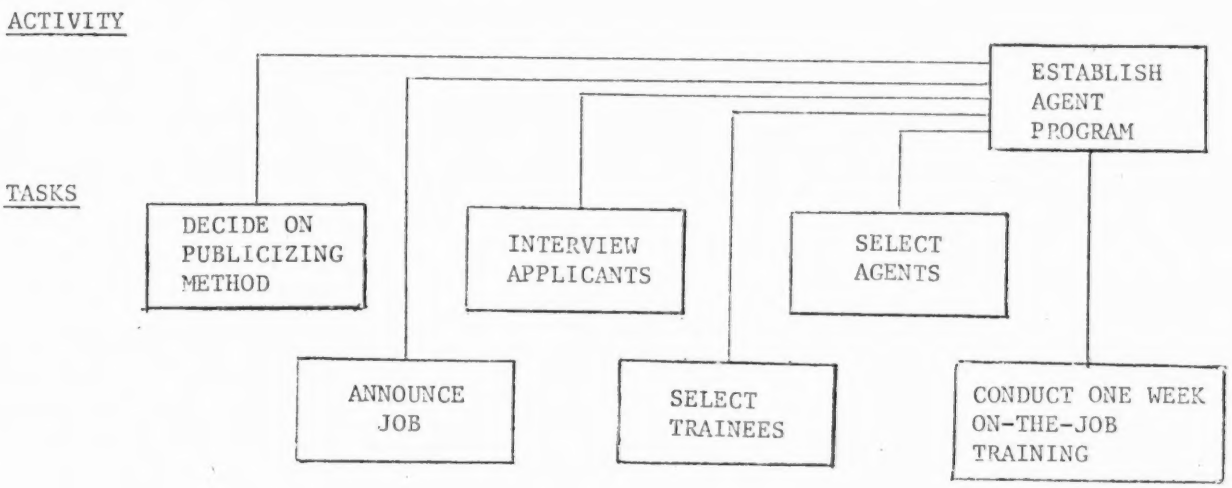
Are supervisors available to explain the task?

Is there enough manpower to accomplish the event?

Are there office space and materials available? etc.

Then determine which tasks this event must precede. In our example, if the additional tasks were to work with several applicants before making the final selection of agents, this would have to come after the interviews and before the final selection:

(Example III)



Finally, the event must be incorporated into the State Plan of Work. Assign a Federal and State objective number to the event and determine the manhours and dollars required. Work progress on the event will then be reported on the quarterly Statistical/Narrative Report in the same fashion as other activities.

In summary, to incorporate an additional event:

A. Make sure that the new event is in line with program objectives.

B. Identify its major field of activity.

C. Schedule the new event according to the sequence of tasks for its field of activity.

D. Assign a Federal and State objective number and add the event into the Statistical/Narrative reporting procedure.

CHAIN OF AUTHORITY

The only formal authorizing agents for the EEP are the NIE and the SEA. All changes in the program must be initiated by them. In proposing, acknowledging, authorizing and executing these changes, the EEP Director will represent the SEA.

All changes emanating from the federal level of government must be directed to NIE, which will then be responsible for initiating the change into the EEP. All changes from any other sources must be directed to the EEP Director and the SEA, which will initiate the change into the EEP. (Refer to illustrations on pages 16 and 17.)

NIE-Initiated Action

CHANGES AFFECTING SEVERAL STATES

If the action NIE plans to initiate involves more than just a few states, NIE may want to prepare broad guidelines of its change, call a conference of EEP Directors and present it to them at that time. The information presented must include all the items stated in the section, REQUIREMENTS FOR NIE-INITIATED ACTION. It would be recommended that after the presentation, the EEP Directors study the changes and how they would be adapted to their state. Following this period, small-group sessions might be scheduled to allow for feedback to NIE from the EEP Directors.

CHANGES AFFECTING ONLY A FEW STATES

If the action NIE plans to initiate involves only a few or selected states, the change should be designed for the individual state with the cooperation of the EEP Director. Then the Director will be responsible for disseminating the information to the rest of the SEA.

NOTIFICATION TO THE SEA OF AN ADDITIONAL EVENT

Notification to the SEA is required whenever an additional event will be incorporated, but (1) the change will be financed with federal funds; and (2) the change is in line with SEA objectives and will not alter the direction of the program. In this case NIE must provide all the information listed under REQUIREMENTS FOR NIE -- To Notify the SEA of an Additional Event. This is true whether only a few or several states are requested to make the change.

AN ADDITIONAL EVENT REQUIRING SEA AUTHORIZATION OR APPROPRIATIONS

Authorization is required whenever (1) funds given by the SEA will be changed in any way. This includes reallocation, requests for additional funds, or cancellations in the program; or (2) the basic direction or purpose of the program is being changed. This is indicated when the objective for the change does not correspond to the stated SEA objectives. When NIE wants to initiate an additional event in one of the above categories, then NIE must furnish all the information listed under REQUIREMENTS FOR NIE -- To Solicit SEA Authorization or Appropriations. This is true whether only a few or many states are requested to make the change.

SEA - Initiated Action

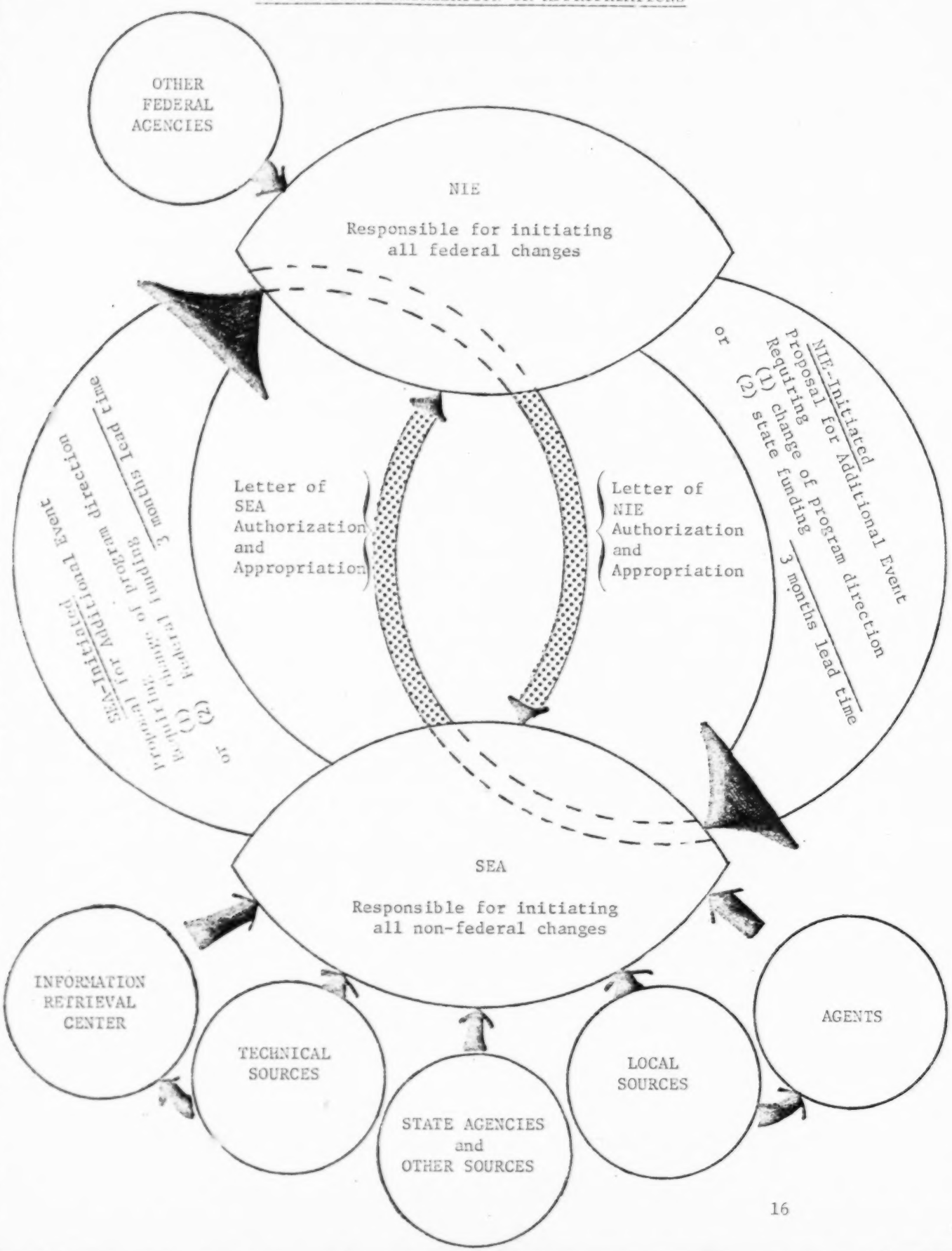
NOTIFICATION TO NIE OF AN ADDITIONAL EVENT

Notification to NIE is required whenever an additional event will be incorporated, but (1) the change will be financed by the State; and (2) the change is in line with NIE objectives and will not alter the direction of the program. In this case the SEA must provide all the information listed under REQUIREMENTS FOR SEA -- To Notify NIE of an Additional Event.

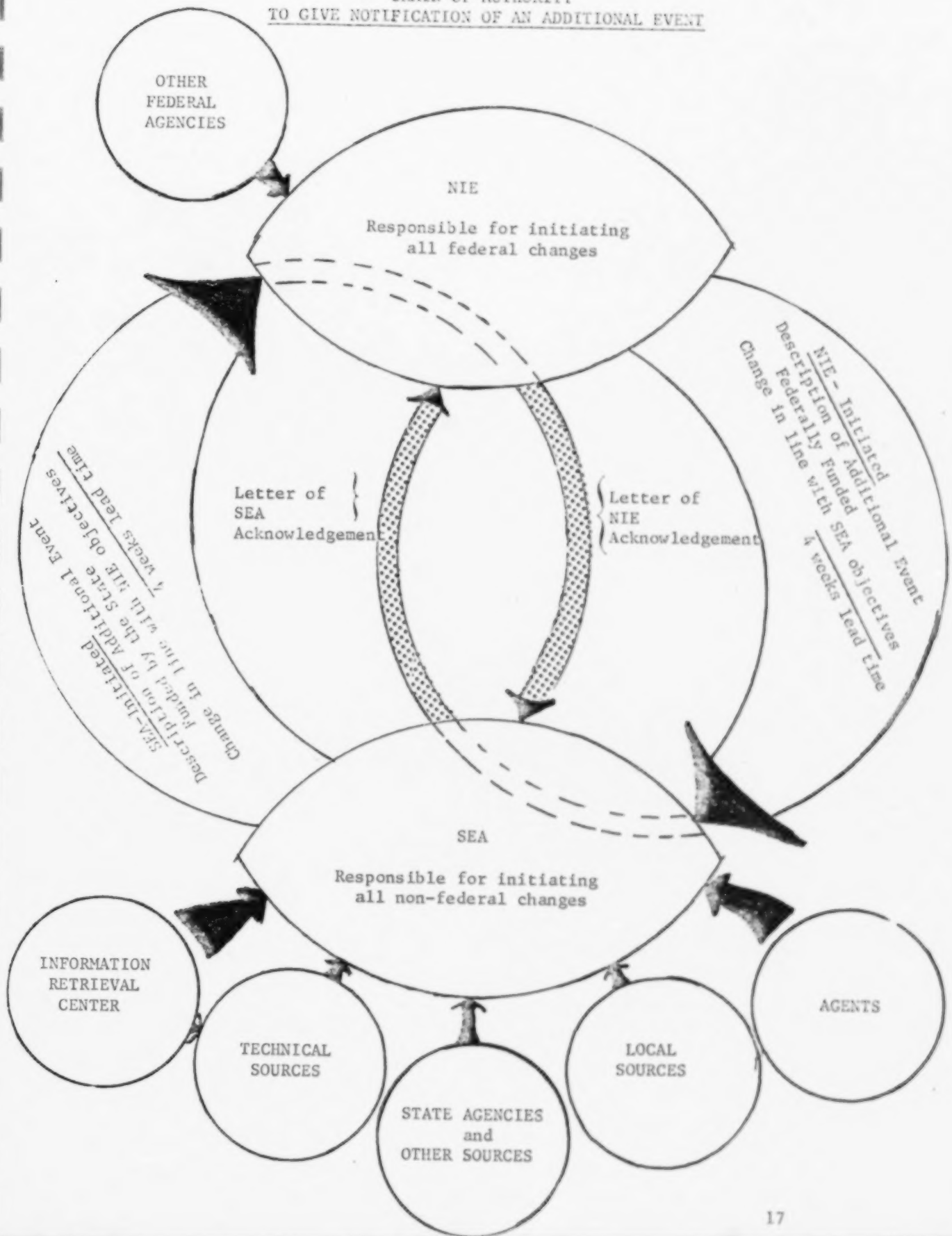
AN ADDITIONAL EVENT REQUIRING NIE AUTHORIZATION OR APPROPRIATION

Authorization is required whenever (1) federal funds will be changed in any way. This includes reallocation, requests for additional funds, or cancellations in the program; or (2) the basic direction or purpose of the program is being changed. This is indicated when the objective for the change does not correspond to the stated NIE objectives for the EEP. When the SEA wants to initiate an additional event in one of the above categories, then the SEA must furnish all the information listed under REQUIREMENTS FOR SEA--To Solicit NIE Authorization or Appropriations.

CHAIN OF AUTHORITY
TO SOLICIT AUTHORIZATION OR APPROPRIATIONS



CHAIN OF AUTHORITY
TO GIVE NOTIFICATION OF AN ADDITIONAL EVENT



REQUIREMENTS FOR NIE-INITIATED ACTION

To Notify the SEA of an Additional Event:

CRITERIA: Notification to the SEA is required whenever an additional event will be incorporated into the EEP, but (1) the change will be financed with federal funds; and (2) the change is in line with SEA objectives and will not alter the direction of the program.

PROCEDURE: The NIE will develop the proposal for change tailored for an individual state in concert with the EEP Director. The Director will then be responsible for informing other interested parties in the SEA. If the additional event will be incorporated in several states, NIE may want to call a conference of EEP Directors to explain the additional event, discuss the changes, and receive feedback.

ADVANCE NOTIFICATION: The SEA must receive a well-developed description of the additional event six weeks before its planned implementation. The description must include the items listed under REQUIRED INFORMATION.

The SEA, through the Director, is then expected to respond to the description of the proposed additional event within one month. At that time the SEA should acknowledge the change in the EEP, attest that the change is in line with SEA objectives, make any recommendations, and, if appropriate, plan for reporting the new change on the Quarterly Statistical/Narrative Report.

If the proposed change is not in line with SEA objectives, or involves a reallocation of state funds, the Director must immediately notify NIE and require complete information on the change as stated in REQUIREMENTS FOR NIE -- To Solicit SEA Authorization of Appropriations, and advance notification must allow for an additional three months.

REQUIRED INFORMATION:

1. Title of the proposed event, and the date of presentation.

2. Department of NIE initiating the additional event, including the address, phone number, contact person, and his or her title.

3. Name, job title, and SEA division of the EEP Director.

To Notify the SEA of an Additional Event:

4. Description of the event to be added. (A paragraph length is recommended.)

5. Purpose for the event: A statement of need.

6. Objective this activity would support. This objective must be the same as previously published SEA objectives for the EEP.

7. Plan of Work: The procedures for integrating the change into the program should be outlined with enough detail to indicate a firm understanding of how the process will operate. A lattice showing the proposed changes in the context of the existing program is helpful.

8. Impact of the change on the project. Include its relationship to the project, and the anticipated benefit. Include examples of similar changes from other states and their results.

9. Resources available and resources needed. A generalized budget listing major items is sufficient.

10. Accountability and Evaluation systems should be described. Include information on benchmarks, cost-effectiveness, and time frame. State the time at which the evaluation will take place, and explain how this change will be monitored in the reports to NIE.

To Solicit SEA Authorization or Appropriations:

CRITERIA: Authorization from the SEA is required whenever (1) funds given by the state will be changed in any way. This includes reallocation, requests for additional funds, or cancellations in the program; or (2) the basic direction or purpose of the program is being changed. This is indicated when the objective for the change does not correspond to stated SEA objectives for the EEP.

PROCEDURE: An additional event desired by NIE should be designed for the individual state in concert with the EEP Director. The Director will then be responsible for gaining any additional approval that might be required from the SEA.

NIE should send a Letter of Intent to the EEP Director early in the planning stages in order to gain any recommendations the SEA may want to offer.

NIE may want to call a conference of EEP Directors to explain the additional event and receive feedback.

ADVANCE NOTIFICATION: The SEA should receive the fully developed proposal for an additional event three months before the planned initiating of the event. This lead time allows the SEA to assess the change in its own departments, reorganize for administering or monitoring the change, prepare for fund reallocation, or redefine SEA goals for the EEP.

If the proposed change will require a change in the SEA's budget as presented to the state legislature, then the proposal for the new event should be sent to the SEA at least three months prior to the meeting of the legislature.

REQUIRED INFORMATION:

1. Title of the proposed event, and the date of presentation.

2. Department of NIE initiating the additional event, including the address, phone number, contact person, and his or her title.

3. Name, job title, and SEA division of the EEP Director.

To Solicit SEA Authorization or Appropriations:

4. Description of the event. (A paragraph length is recommended.)

5. Purpose for the event: A statement of need.

6. Objective this activity would support. This objective should be the same as previously published SEA objectives for the EEP.

   If a new objective is proposed, which is not the same as one already agreed upon by the state, a detailed explanation of the need should be stated. NIE should plan on negotiating with the SEA concerning this change in the direction of the program.

7. Plan of Work: The Procedures which will be followed to integrate the change into the existing program must be stated, including the schedule and time restructions. A lattice would be helpful in illustrating this. The methods for selecting the location, agencies, personnel, training, information sources, technical assistance, program development and operating procedures should be clearly stated. In other words, state exactly what steps will be followed, in sequence, to incorporate the event into the EEP.

8. Impact of the change on the project. Explain its overall relationship to the project, and the anticipated benefit. Include examples of similar changes from other states and their results. Outline the projected cost and cost-effectiveness.

9. Resources available and resources needed. A full budget is required if a reallocation of funds is required. Otherwise, a generalized budget listing major items is sufficient. If more money is requested, the proposal should explain why NIE is not paying for it, and why funds weren't included or planned for in the initial grant. Contributions NIE will make should be listed in the budget.

10. Accountability and Evaluation methods must be detailed. State how accountability will be determined, who is the responsible party, and when he or she will be expected to report on accomplishments. State what criteria or benchmarks will be measured to evaluate the progress towards achieving the stated objective of the additional event. These criteria should include items which can be monitored for cost effectiveness, that is, the cost of incorporating the event as compared to the favorable effects (stated in dollar terms) of the proposed change.

To Solicit SEA Authorization or Appropriations:

State the time at which the evaluation will take place and explain how this change will be monitored in the reports back to NIE .

REQUIREMENTS FOR SEA-INITIATED ACTION

To Notify NIE of an Additional Event

CRITERIA: Notification to NIE is required whenever an additional event will be incorporated into the EEP, but (1) the change will be financed with State funds; and (2) the change is in line with NIE objectives and will not alter the direction of the program.

PROCEDURE: The EEP Director will develop the proposal for change for the SEA. He will be responsible for assuring that the change corresponds to NIE objectives and guidelines. The Director will be responsible for presenting the change to NIE.

ADVANCE NOTIFICATION: NIE should receive a well-developed description of the additional event six weeks before its planned implementation. The description must include the items listed under REQUIRED INFORMATION.

NIE is then expected to respond to the description of the proposed change within one month. At that time NIE should acknowledge the change in the EEP, attest that the change is in line with NIE objectives, and make any recommendations it may have.

If the proposed change is not in line with NIE objectives, or involves a reallocation of federal funds, NIE must immediately notify the EEP Director and require complete information on the change as stated in REQUIREMENTS FOR SEA --To Solicit NIE Authorization or Appropriations, and advance notification must allow for an additional three months.

REQUIRED INFORMATION:

1. Title of the proposed event, and date of presentation.

2. Name of the EEP Director, his title, Agency, address and phone number.

3. Department at NIE addressed by this notification, contact person, and his or her title. The contact person is named in order to clearly assign responsibility for responding to the notification and acknowledging it.

To Notify NIE of an Additional Event:

4. Description of the event to be added. (A paragraph length is recommended.)

5. Purpose for the event: A statement of need.

6. Objective this activity would support. This objective must be the same as previously published NIE objectives for the EEP.

7. Plan of Work: The procedures for integrating the change into the program should be outlined with enough detail to indicate a firm understanding of how the process will operate. A lattice showing the proposed changes in context of the existing program is helpful.

8. Impact of the change on the project. Include its relationship to the project, and any effect it might have on other state EEP's.

9. Resources available and recources needed. A generalized budget listing major items is sufficient. In addition to the federal and state contributions, other resources should be identified, such as, information, outside funds, in-kind service, materials, etc.

10. Accountability and Evaluation system should be described. Include information on benchmarks, cost-effectiveness, and time-frame. State the time at which the evaluation will take place, and explain how this change will be monitored in the monthly or quarterly reports to NIE.

To Solicit NIE Authorization or Appropriations:

CRITERIA: Authorization from NIE is required whenever (1) federal funds will be changed in any way. This includes reallocation, requests for additional funds, or cancellations in the program; or (2) the basic direction or purpose of the program is being changed. This is indicated when the objective for the change does not correspond to the stated NIE objectives for the EEP.

PROCEDURE: The EEP Director will develop the proposal for change for the SEA. He will be responsible for assuring that the change corresponds to NIE objectives and guidelines. The Director will be responsible for presenting the change to NIE The Director should mention the proposed change in his quarterly report prior to submitting the proposal for an additional event.

In the "Announcement of the Educational Extension Program," NIE outlined the areas for which the costs would be covered by the initial grants. Presumably, requests for additional funds should be limited to these areas: (1) management of the state-wide EEP, (2) monitoring the activities of local extension agents, (3) staff salaries, (4) computer time and other services required to operate the information service unit, and (5) support of local extension agents. All major changes in the program must meet the program and fiscal requirements of the Code of Federal Regulations.

ADVANCE NOTIFICATION: NIE should receive the fully developed proposal for an additional event three months before the planned initiating of the event. This lead time allows NIE to process the change in its own departments, adjust for fund allocation, or redefine agency goals.

If the proposed change will effect NIE 's budget as presented to Congress, then the proposed event should be sent to NIE at least three months prior to the Congressional hearings on the NIE budget.

REQUIRED INFORMATION:

1. Title of the proposed event, and the date of presentation.

2. Name of the EEP Director, his title, Agency, address and phone number.

3. Department at NIE addressed by this proposal, the contact person, and his or her title. The contact person is named in order to clearly assign responsibility for responding to the proposal.

4. Description of the event to be added or changed. (A paragraph length is recommended.)

5. Purpose for the event: A statement of need. Complete detailed justification in specific form is required in all cases and particularly when requesting additional or a reallocation of funds. (Note: advance approval, before expenditure, is required for all fund allocations.)

6. Objective this activity would support. This objective should be the same as previously published NIE objectives for the Educational Extension Programs.

   If the activity supports a new objective, this should be clearly stated in the proposal, along with a recommendation for consultation with NIE. A detailed explanation of the need for this new objective must be stated. The Director should plan on negotiating with NIE concerning this change in the direction of the program.

7. Plan of Work: The procedures which will be followed to integrate the change into the existing program must be stated, including the schedule and time restrictions. A lattice would be helpful in illustrating this. The methods for selecting the location, agencies, personnel, training, information sources, technical assistance, program development and operating procedures should be clearly stated. In other words, state exactly what steps will be followed, in sequence, to incorporate the event into the EEP.

8. Impact of the change on the project. Explain its overall relationship to the project, and the anticipated effect. Outline the results if the change is not made, and explain any impact this change might have on other state EEP's.

9. Resources available and resources needed. A full budget revision must be submitted to NIE if a reallocation of funds is necessary. The proposed budget must follow the same sequence as the original budget request (see Appendices B

and C). Appendix B is a sample of the form required for the initial Project Budget Estimate which must be included in the Plan of Work (Proposal). (It is a consolidation of the detailed costs contained in Appendix C.) This form is supplemented by Appendix C which details all costs. Appendix C as shown is only a sample, it is open ended and under each category all proposed expenditures must be specifically itemized. The numbers (i.e. 51, 52, 53, etc.) appearing on this supplemental form must correspond directly with those appearing on the Project Cost Estimate form (Appendix B).

Requests for reallocation of funds within a grant or for additional funds will be submitted using the sample format shown at Appendix D, supplemented by detailed explanatory notes. The completed form must show the monies originally budgeted and a complete list of the new proposed budget, plus the computed net change.

For reallocation requests, the totals appearing on the revised project cost estimate (Appendix D) under "Proposed Budget" must be the same as those under "Original Budget". Net changes will be shown in the column so identified and a detailed explanation will be attached. Changes must be footnoted with specific information concerning the details involved in the change including why additional funds are required in one area and lesser funds in the decreased area.

When additional funds are requested, the proposal must explain why the funds for the event were not included in the initial request.

It is important for both requests for reallocation of funds and requests for additional funds that:

- The exact format shown at Appendix D be followed,
- Footnotes completely justify reallocation requests,
- Total funds for budget reallocation requests exactly match the original approved budget.

Requests that do not exactly follow the format contained in this document will be returned to the initiator without action.

Budget changes must be submitted to the Contracts and Grants Office for approval no later than 30 days prior to the expected change date. All changes must be approved by the Contracts and Grants Office before the change can be incorporated into the Statistical/Narrative Report.

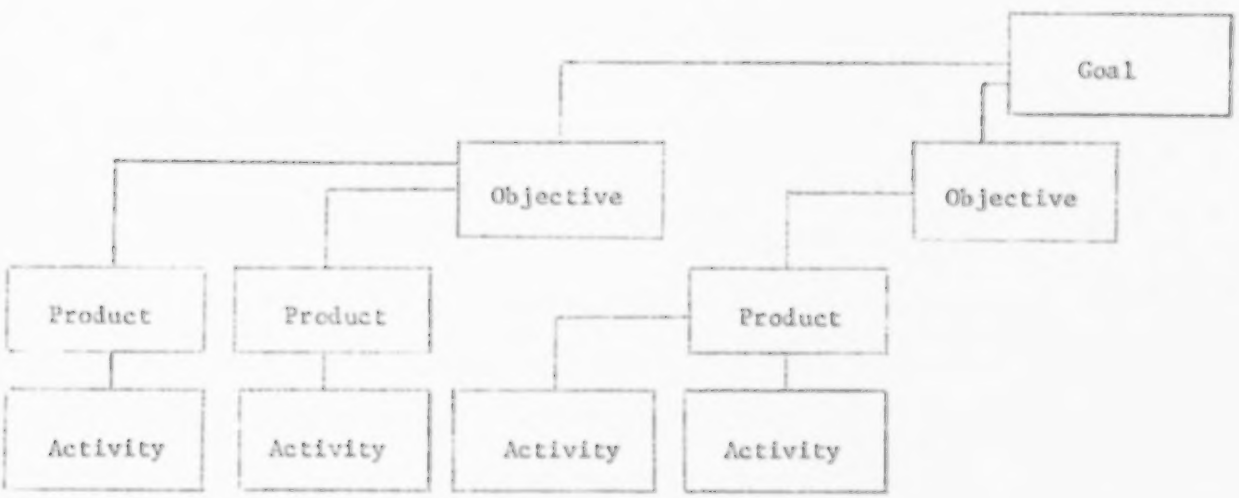
10. Accountability and Evaluation systems must be explained. State how accountability will be determined, who is the responsible party, and when he or she will be expected to report on accomplishments.

    State what criteria, or benchmarks, will be measured to evaluate the progress towards achieving the stated objective of the additional event. These criteria should include items which can be monitored for cost effectiveness, that is, the cost of incorporating the event as compared to the favorable effects (stated in dollar terms) of the proposed change. State the time at which the evaluation will take place, and explain how this change will be monitored in the monthly or quarterly reports to NIE.

APPENDIX A: Developing a Lattice.

A management tool for graphically presenting Management by Objectives is the lattice.

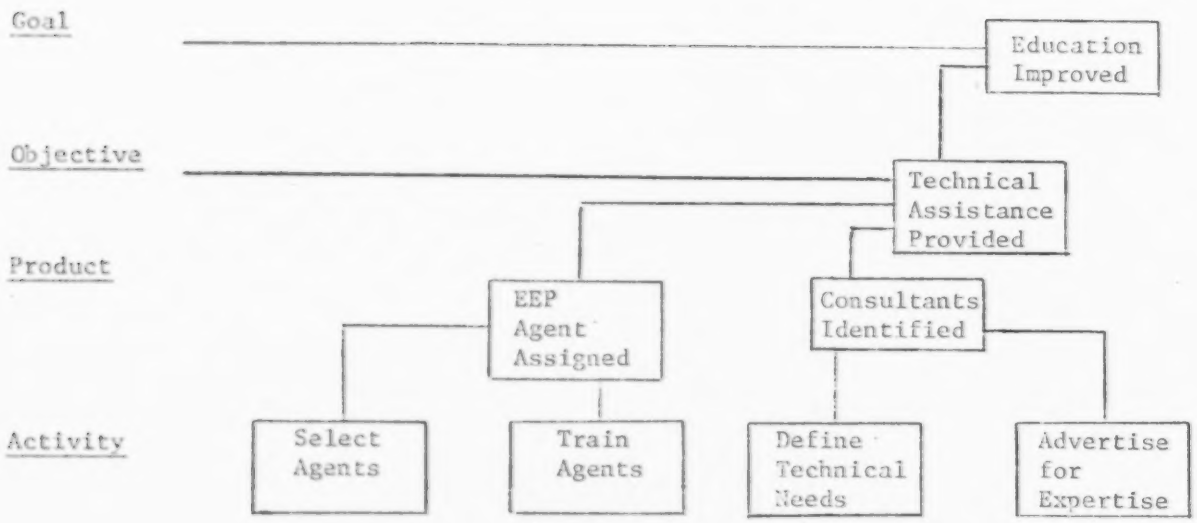
General Format of a Lattice:



It is recommended that a proposal for change reflect this concept, and if possible, include two such illustrations. The first lattice should show the goals, objectives, products, and activities of the EEP as currently operating. The second should insert the additional activity into the first lattice to show how it enables the program to achieve its goals.

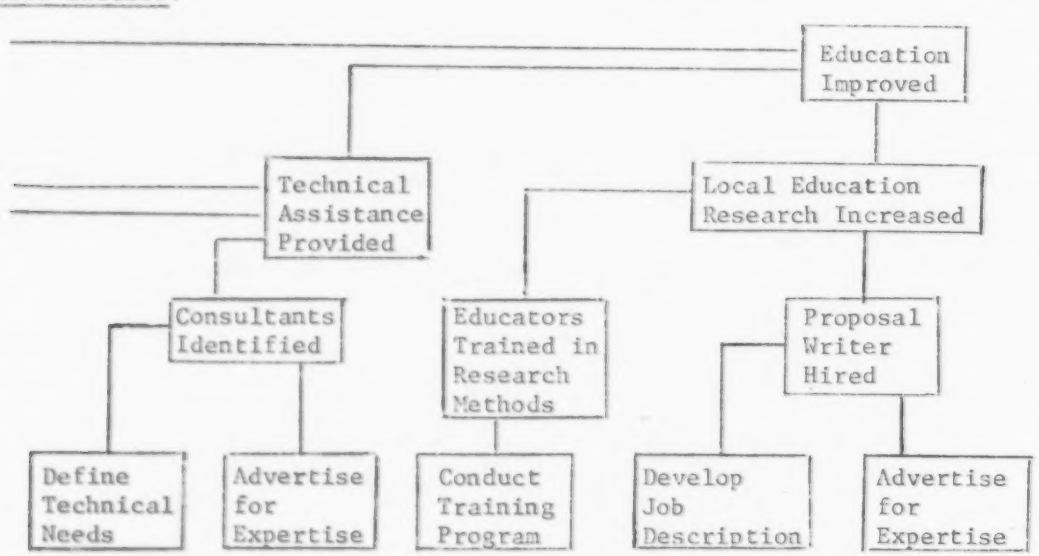
EXAMPLE

A Current Lattice:



The Proposed Additional Event: To increase local educational research by having a full-time staff member to assist educators in writing proposals and applying for research grants.

The Amended Lattice:



APPENDIX B

PROJECT COST ESTIMATES
(Federal Support Only)

Project Director *John B. Smith* Institution or Agency *State A Bd. of Educ.*

Proposed Duration: (mos.) *18* Starting Date: *7/1/73* Ending Date: *12/31/74*

A. DIRECT COSTS		
Personnel Salaries	51	$ 87,992
Employee Benefits (charged as direct)	52	$ 17,598
Travel	53	$ 1,000
Supplies and Materials	54	$ 1,750
Communications	55	$ 2,200
Services		
Duplicating and Reproduction	56	
Statistical	57	
Testing	58	
Other	59	
Final Report Production	60	
Equipment	61	$ 14,350
Training Program Costs		
a. Trainee Support Costs	62	
b. Institutional Allowance	63	
Other Direct Costs	64	$ 2,250
Subtotal, Direct Costs	65	$127,140
B. INDIRECT COSTS	66	$ 31,785
C. TOTAL COSTS (Federal Support)	67	$158,925

APPENDIX C

DETAILED PROJECT COST ESTIMATES

A. DIRECT COSTS

51. Personnel Salaries	
a. Project Director	$ 23,000
b. Extension Agents (2) @ $8200/year for 18 months	$ 24,600
c. Retrieval Specialist @ $11,764/year for 18 months	$ 17,646
d. Secretary @ $6800/year; 50% paid by State	$ 5,100
e. Information Specialist @ $11,764/year for 18 months	$ 17,646
52. Employee Benefits @ 20% of #51.	$ 17,598
53. Travel	
a. Two round trips to Washington, D.C. (NIE) Airfare= $180.00 Per Diem= 3 days @ $25.00/day= $75.00 Rental Car= 50 mi. X 16¢/mi.= $8.00 Subtotal= $686.00	
b. Trip to Regional Training Seminar Project Director and EEP Agent Travel Expense= $78.00 X 2= $156.00 Per Diem= 3 days @ $25.00/day= $150.00 Rental Car= 50 mi. X 16¢/mi.= $8.00 Subtotal= $314.00	
TOTAL	$ 1,000
54. Supplies and Materials	$ 1,750
55. Communications	$ 2,200
61. Equipment	
a. Computer System Development and Maintenance	$ 12,000
b. Microfiche Printer/Processor	$ 2,000
c. IBM Selectric Typewriter (Rental Fee)	$ 350
64. Space Rental (ODC) @ $500.00/month (75% paid by State)	$ 2,250
65. Subtotal, Direct Costs	$127,140
B. INDIRECT COSTS	
Overhead @ 25%	$ 31,930
C. TOTAL COSTS (Federal Support)	$158,925

APPENDIX D

REVISED PROJECT COST ESTIMATES
(Federal Support Only)

Project Director: *John B. Smith* Institution or Agency: *State A Bd. of Educ.*

Proposed Duration: (mos.) *18* Starting Date: *7/1/73* Ending Date: *12/31/74*

	Original Budget	Proposed Budget	Net Change
A. DIRECT COSTS			
51. Personnel Salaries	*$ 87,992*	*$ 89,535*	*+ $ 1,543*
52. Employee Benefits (charged as direct)	*$ 17,598*	*$ 17598*	
53. Travel	*$ 1,000*	*$ 657*	*- $ 343.*
54. Supplies and Materials	*$ 1,750*	*$ 1,750*	
55. Communications	*$ 2,200*	*$ 2,200*	
Services			
56. Duplicating and Reproduction			
57. Statistical			
58. Testing			
59. Other			
60. Final Report Production			
61. Equipment	*$ 14,350*	*$ 13,150*	*- $ 1,200*
Training Program Costs			
62. a. Trainee Support Costs			
63. b. Institutional Allowance			
64. Other Direct Costs	*$ 2,250*	*$ 2,250*	
65. Subtotal, Direct Costs	*$127,140*	*$127140*	
B. INDIRECT COSTS	*$ 31,785*	*$ 31,785*	
C. TOTAL COSTS (Federal Support)	*$158,925*	*$158,925*	*-0-*

ADDENDUM TO APPENDIX D

PROJECT COST ESTIMATES

BUDGET REVISION

PROJECT NUMBER: *357-248-153* DATE: *January 15, 1974*

PREPARED BY: *John B. Smith, Project Director*

EXPLANATORY NOTES

Personnel Salaries:

+ $1543.00
Consultant Services fee, or ADP system
20.5 days @ $75.00/day

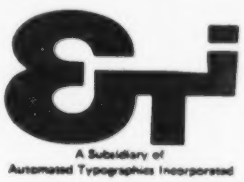
This money is required to pay 20.5 days of consultant fees @ $75.00/day to Dr. Thomas E. Smith of Automated Systems Incorporated for ADP programming and installation assistance.

Travel:

- $ 343.00
Federal Program Monitor made on-site visit eliminating need for consultation at NIE-D.C.

Equipment:

- $1200.00
Reduction made possible due to original over estimate in number of computer hours required for program debugging.



A SYSTEM FOR REPORTING DATA COLLECTION plus PROCEDURES FOR ACHIEVING COMPARABLE PLANNING/PROGRAMMING AND FOR PREPARING PROGRAM RECORDS

EVALUATION TECHNOLOGIES INCORPORATED

Suite 130, 1121 Arlington Blvd. ● Arlington, Va. 22209 ● (703) 525-5818

INFORMATION TO PLAN AND IMPLEMENT A SYSTEM THAT WILL IDENTIFY, DETERMINE AVAILABILITY AND SCHEDULE APPLICATION OF RESOURCES PLUS RECORD APPLICATION OF RESOURCES AND ACCOMPLISHMENTS RESULTING

DESIGN OF A SYSTEM FOR GOAL SETTING, OBJECTIVE IDENTIFICATION AND REPORTING

DESCRIPTION OF PROCEDURES FOR ACHIEVING COMPARABLE PLANNING/PROGRAMMING OF ACTIVITIES

PREPARATION OF PROCEDURES FOR MAINTAINING PROGRESS RECORDS TOWARD EVENT COMPLETION

PREPARED FOR:

UNITED STATES NATIONAL INSTITUTE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
WASHINGTON, D.C.

PREPARED BY:

EVALUATION TECHNOLOGIES, INC.
SUITE 130, 1121 ARLINGTON BOULEVARD
ARLINGTON, VIRGINIA 22209

DATE PREPARED:

OCTOBER 1972

(REVISED JANUARY 1973)

CONTRACT NUMBER:

SB3-2-0-8(a)72-C-382
TASKS III, IV, AND V

FOREWORD

This document constitutes the deliverable product for Tasks III, IV, and V; Contract Number SB3-2-0-8(a)72-C-382 between Evaluation Technologies, Incorporated and the United States National Institute of Education.

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Chapter I
Introduction

I-I TITLE

(a) Provision of information to plan and implement a system that will: identify, determine availability and schedule application of resources, plus, record application of resources and accomplishments resulting.

(b) Design of a system for goal setting, objective identification and reporting.

(c) Description of procedures for achieving comparable planning/programming of activities.

(d) Procedures for maintaining progress records toward event completion.

I-II CONCEPT

The purpose of the Educational Extension Management Program is to establish a procedure for maintenance of a three-way partnership between the Federal and State and Local Education Agencies in instituting and operating the Educational Extension Program (EEP).

The main thrust of this system will be to exercise management direction from a distant location making use of Government Offices, State Offices and Local School Districts with their own inherent management capabilities. The Federal Government will establish goals and objectives which the States will use as a basis for setting their own goals and objectives. Objective achievement with completion dates will become obligations upon allocation of Federal funds. The reporting system will be the vehicle used for collecting information and providing progress reports to management at all levels of the partnership. This method will insure unity of purpose and assure achievement of comparable planning/programming of activities

at all levels. The management reporting system is separate and distinct from any reporting that may be necessary for evaluation of any part or all of the system.

1-III PURPOSE

The reporting/data collection system is constructed to provide:

Program parameters set at Federal level, (funding, etc.)

Goal/Objective setting at the State level with Federal negotiation and approval,

Objective identification and reporting at all levels,

Comparable planning/programming of activities at Local, State, and Federal levels,

An identification of resources required and outcomes anticipated for the EEP by the State,

A determination as to the availability of resources within the States,

A record of the results obtained by applying Federal and State resources to the program,

Procedures used for maintaining progress records toward event completion/objectives achievement,

Feedback of information to the State projects, as appropriate.

1-IV PHASING

The general development of the Education Extension Agent Program has been divided into four phases. These are:

Phase I:	Concept through Pilot Program evaluation (completed)
Phase II:	Program planning through Grant Award
Phase III:	Program Experimentation (1-5 years)
Phase IV:	Operational Program Design (Post-experiment phase)

Stewardship, technical direction and funding for the EEP will rest with the National Institute of Education (NIE) in Washington, D.C. from concept through Phase III. (See Figure 1 for graphic portrayal.)

I-V GOALS/OBJECTIVES/ACTIVITIES/PRODUCTS

The EEP will be directed and managed using the Management by Objectives techniques. To this end it is necessary that a clear understanding of the meaning and relationship between goals, objectives, products and activities be established.

A. Goals

Goals are essential to the success of any program. They must be clearly stated and announced for all to know and understand. The goals set forth what the program stands for and, in general, the direction in which it expects to progress. A goal does not have a deadline and cannot be exactly measured.

B. Objectives

An objective, on the other hand, can usually be measured exactly. It is usually to be completed in a specific time such as a month, a quarter, or a year. Objectives support goals; that is, satisfactory completion of an objective helps toward achievement of the goal. Objectives are developed by the manager or director and tend to make the program dynamic. An objective must be fully achievable and you must be able to determine the fact that it has been achieved.

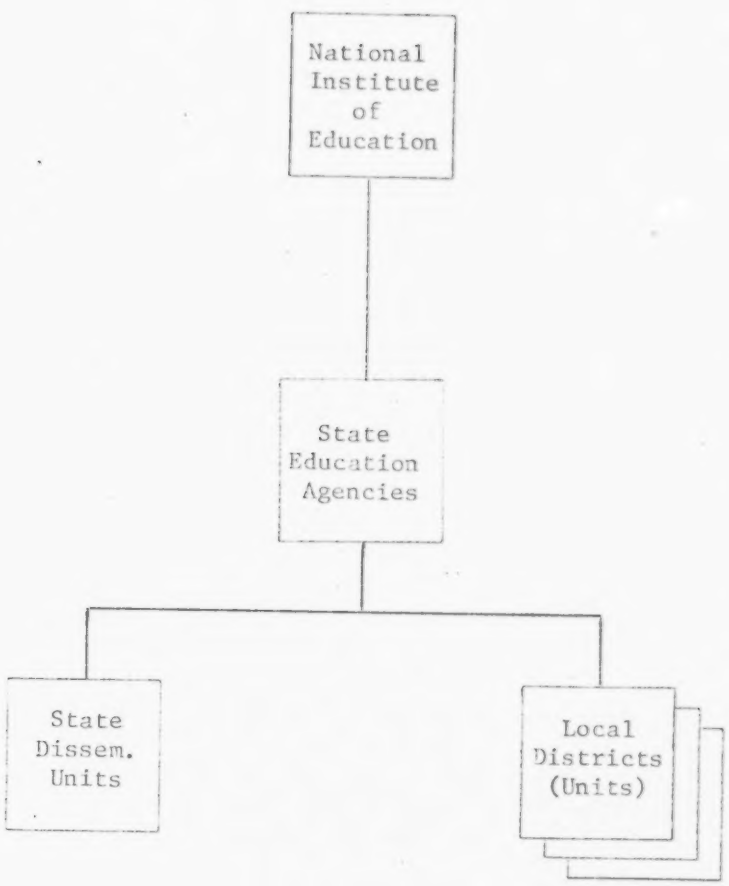
C. Activities

Activities are work steps that must be performed to achieve objectives. Activities are usually assignable tasks which managers can use to hold individuals accountable for performance. The number and length of activities vary with the objective. Each activity must be planned to apply the needed resources to accomplish an objective. In this case activities will be planned by the SEA.

D. Products

Products are the result of activities. They are the end item or the end result of the activity performed. For example the activity of "writing" could result in a "book" which is a product.

Products should be stated using the past tense in order to imply completion, such as "application form printed". The quantity, size and shape of products vary depending upon the activity being performed.



STEWARDSHIP

Figure 1

Chapter 2
Responsibilities

2-I GENERAL

The levels of responsibility that are key to the systen functions are (1) the Federal level represented by the National Institute of Education (NIE) in Washington, D.C.; (2) the individual State governments represented in this document by the State Education Agencies (SEA); and, (3) the local education districts participating through the SEA's. The system will function with these three levels working as partners. The Federal Government will exercise control and provide direction to the program through its allocation of resources and by providing technical assistance. The States (SEA's) will exercise management responsibility for each State program including the establishment of the program, the supervision of the agents themselves and the operation of the State Information Retrieval Center. The Agents and the Retrieval Center form the source of output of the system. The main source of information needed to operate and maintain the program will be based on the output of the agents and the retrieval centers.

2-II LEVELS OF RESPONSIBILITY

A. National Institute of Education

(1) Program Planning
(2) Technical Direction
(3) Program Announcement
(4) Funding
(5) Grant Award/Administration
(6) Training Support
(7) Annual Program Review

B. State Education Agencies

(1) Program initiation/planning

(2) Selection of Target Areas

(3) Agent selection/training

(4) Grant Administration

(5) Internal Program Development

Chapter 3
Description and Procedures

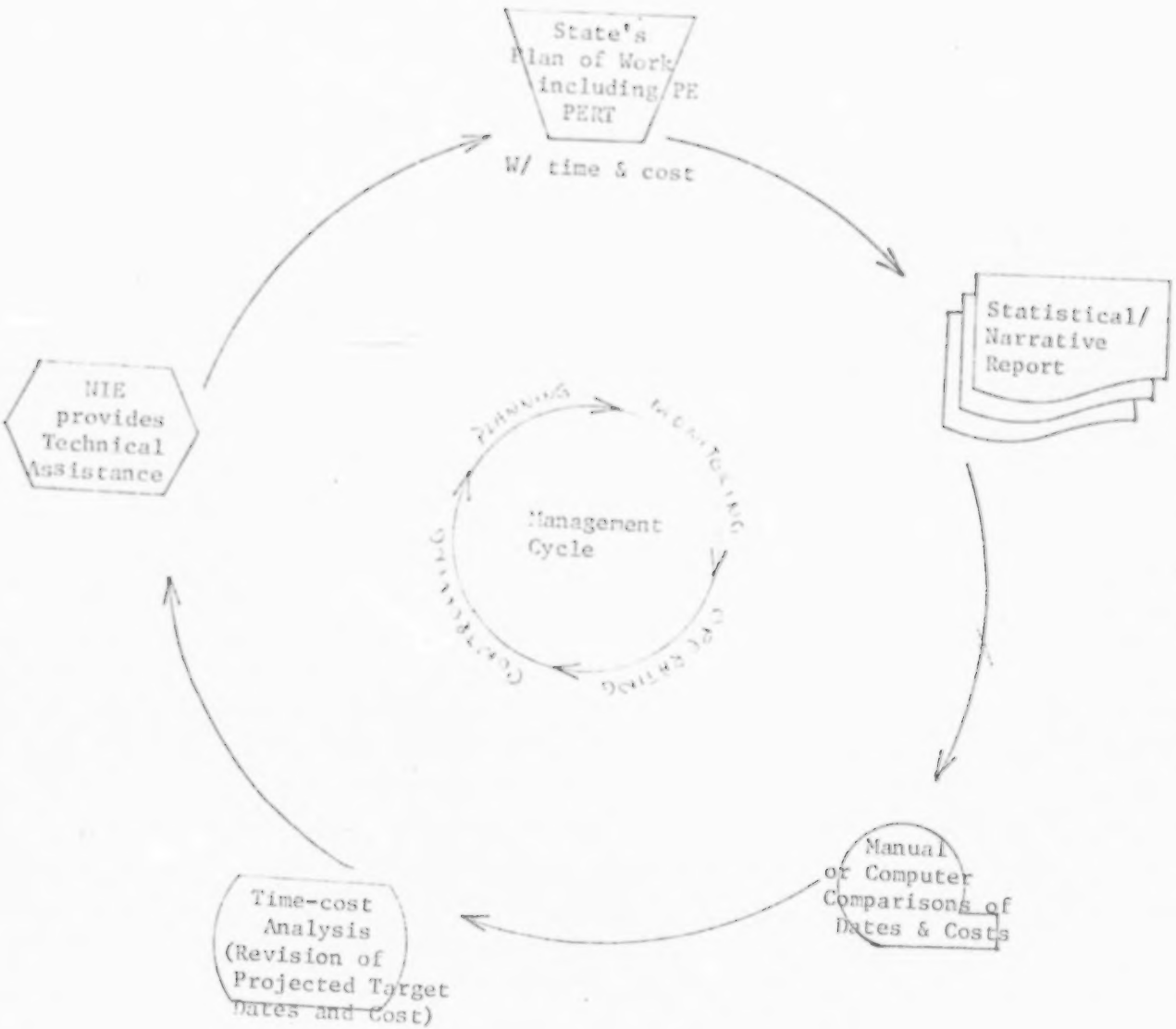
3-I GENERAL

Management direction and control for the EEP will be exercised and reported using "Management by Objectives" techniques. This method requires the Federal Government to annually establish their objectives for the program as guidance to participating States. The States in turn will develop their plans of work (proposal), establishing their own objectives which must support achievement of the Federal objective, thus Federal and State objectives will be mutually arrived at each year. The State plan of work (proposal) will be translated into activities which will be executed by the State program staff. Periodic reports, as described herein, will be used to report progress and other management data. This system insures comparable planning at each level, reports progress, and gives unity of purpose and action to the program.

This system as designed is a simple, realistic manual method of management. It is a continuing cyclic system that establishes objectives, measures progress and allows for management decisions and action to influence activity. (See Figure 2). It is tailored to provide a maximum amount of system visibility with a minimum amount of interference. It is deliberately designed so that it, along with the reports in their formats, are readily and easily convertible to an automated system using high-speed electronic data processing (EDP) machines. The use of the EDP procedures as an evolutionary product of this system will offer attractive capabilities as far as manipulation of statistical data and direct correlation of resources to objectives are concerned.

Figure 2

MANAGEMENT CYCLE



3-II FUNCTIONS

The functions of the reporting/data collection system will be to (1) clearly identify objectives, (2) correlate Federal/State objectives and products required for achievement, (3) measure achievement, and (4) monitor results. Figure 3 depicts the development and monitoring cycle for the EEP.

The system described in subsequent paragraphs establishes formal channels of communication within the three-way partnership but stresses flexibility and simplicity. The system described will function throughout the development of the EEP. The benefits that will accrue are:

- Comparable planning at all levels
- Two-way flow of information
- Ready availability of decision making information
- Allocation/reallocation of resources facilitated
- Progress measured on a recurring basis
- Conversion to ADP procedures facilitated

Five major tools will be used in the system. These are enumerated below and explained in detail in subsequent paragraphs. Figure 4 shows graphically how these tools are used to provide the reporting/data collection system for management use.

- Program Guidance Document
- Plan of Work (Proposal)
- Quarterly Statistical/Narrative Report
- Daily Activity Report
- Annual Program Review

3-III PROGRAM GUIDANCE DOCUMENT

A. Purpose

This document provides the basic guidance for the Educational Extension Program. At the program outset it will be published as the announcement. Subsequently, changes will be prepared and published annually. It will give direction and vitality to the program. It presents the Federal objectives for the program, which later will be

EXPERIMENTATION/MONITORING CYCLE

EDUCATIONAL EXTENSION PROGRAM

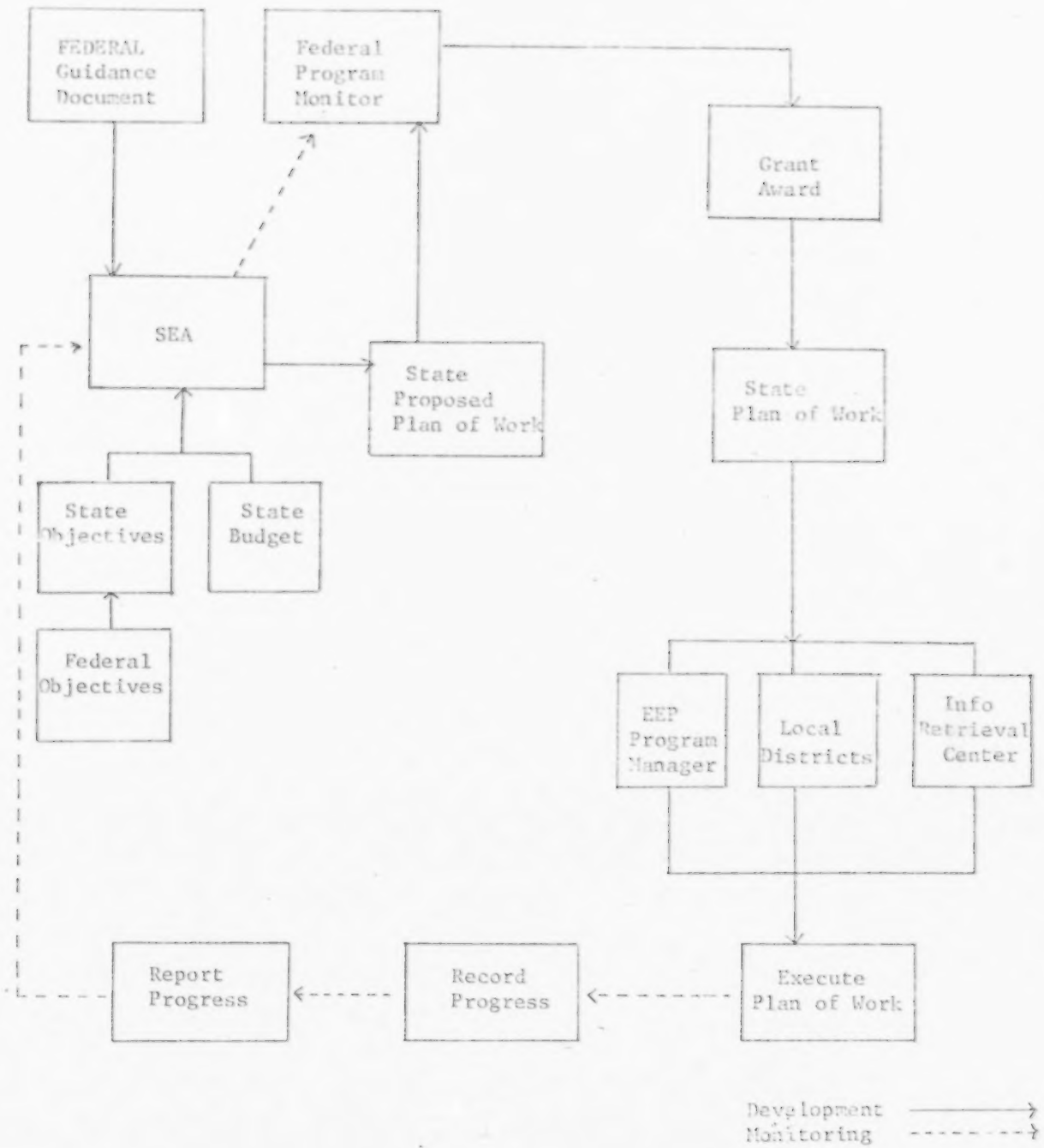
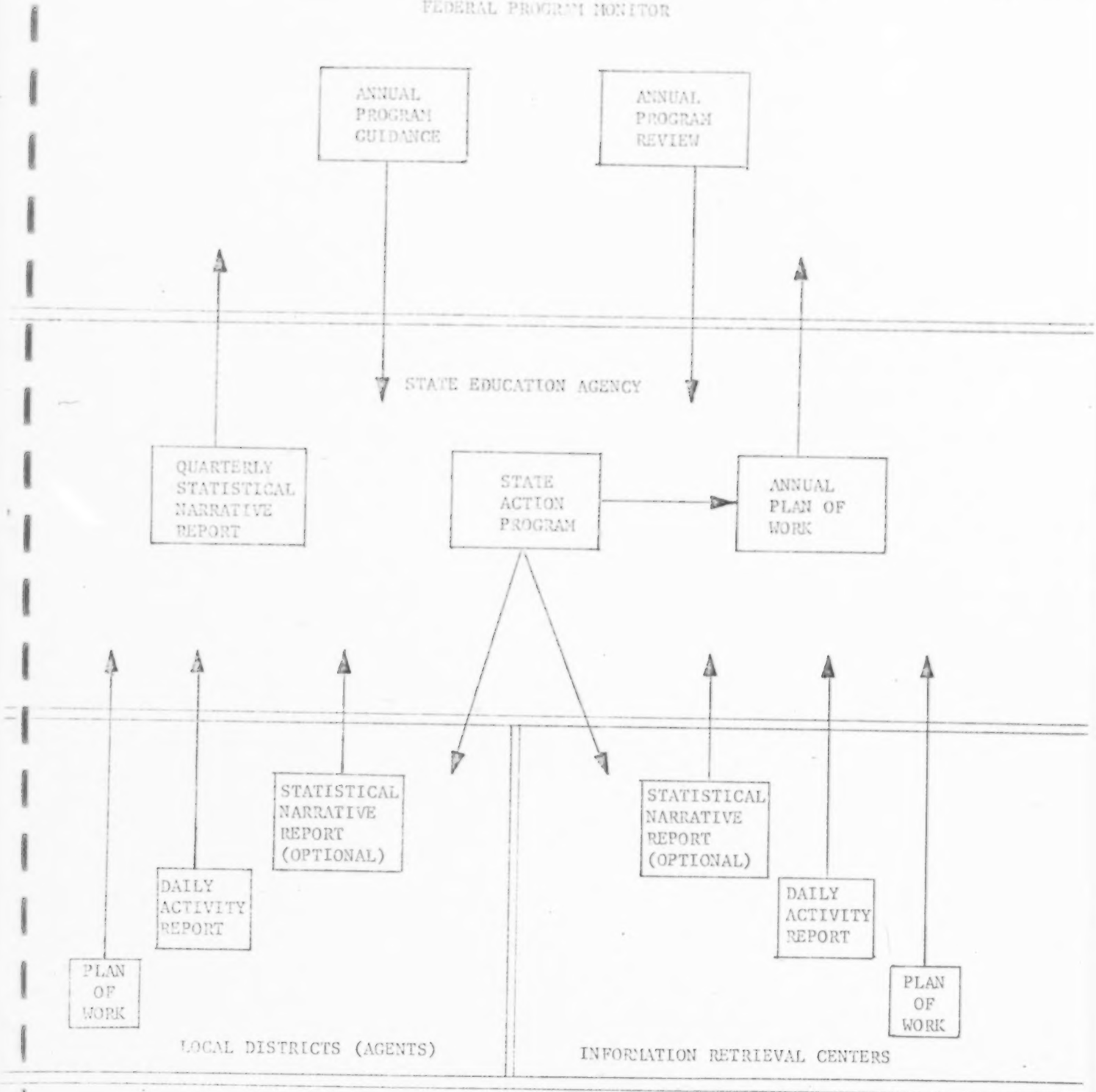


Figure 3

Figure 4

MAJOR TOOLS IN THE SYSTEM



identified by the participating State in their Plan of Work (Proposal). The States will also identify the activities they will perform to achieve the objectives.

The guidance document prescribes the format, content and procedures for (1) preparation and submission of the State Plan of Work (proposal), (2) progress reporting, and (3) specifying the technical assistance that is available to participants.

B. Description

(1) General

This document spells out the conceptual basis and the methods of the EEP. It describes the communication cooperation between the Federal and State agencies that must be established for the program's success. It outlines the experimental conditions that must be met by States wishing to participate.

The document functions as the vehicle for insuring comparable planning and progress reporting by specifying Federal objectives, content of grant proposals and format/content of progress reports. It promulgates the administrative procedures that are necessary for smooth operation of the progaam on a national basis.

Annual revisions may: (1) redefine experimental conditions or program objectives, (2) amend administrative procedures, and (3) detail technical assistance programs.

(2) Program Operation

The guidance document suggests the activities generated by the program and describes the objectives expected. The types of grants available, their duration, and eligibility requirements are contained in this portion of the document.

State and Local requirements must be spelled out clearly in this portion and must include what is expected in the way of program management, a retrieval center and a linking agent program. Eligibility criteria will be spelled out for each type of program available. At the outset of the program, Letters of Intent will be

solicited from each State Education Agency stating their intent to participate.

Each State Agency will submit a Plan of Work (Proposal) following the guidelines specified in the Program Guidance Document. Grants will be awarded after a competitive evaluation of these proposals. Subsequent renewal proposals will be submitted by States based upon their own progress and the Annual Program Guidance Document published by the Federal Program Monitor.

(3) Criteria for Evaluation of Plans of Work (Proposals)

Proposal evaluation criteria will be published in the Program Guidance Document and updated annually as required. This published criteria will be used to evaluate the Plan of Work submitted by each State. On-site inspection will be made, at the Federal Program Monitor's descretion, of States applying for Grants. The Federal Program Monitor may negotiate with the State for specific proposal amendments.

The criteria for selection of states to join the EEP are an important part of the national program. They require a well defined direction of the program to be provided by the NIE staff, and thus give a clarity of purpose to the total experiment of the EEP. Likewise, states wishing to participate can more realistically determine their own capabilities in accomplishing the National Goals for the Educational Extension Program.

In assessing their capabilities and presenting their plans in the proposal (Plan of Work), states must know on what basis their Plan of Work will be judged. For this reason, the actual evaluation form (See Attachment A) and procedures for reading and evaluation of proposals, are to be included in NIE's Annual Program Guidance Document.

The Proposal Evaluation Form covers the same information that is required in the State Plan of Work Description and the Program Guidance Document. The actual form is provided to the states so they can see the exact criteria for evaluation to be used by

the NIE staff and outside readers in evaluating the Plans of Work.

In summary, the following procedures will be followed in selecting a state for award of an EEP grant.

- Proposal evaluated by three field readers using the evaluation form
- Proposal evaluated by two NIE officials using the evaluation form
- Proposals to be considered by a panel of NIE staff, including the two NIE readers, in the context of the National EEP direction and priorities
- Preliminary selection of states made through synthesis of all of the above
- On-site examination, field visit by NIE official for doubtful cases
- Negotiation of program discrepancies
- Final selection of states for grants

(4) The Program Guidance Document will announce and enumerate the Federal objectives. These objectives must be numbered. The Program Phase for each set of objectives will also be identified. Figure 5 contains an example of federal objectives.

Program Grants will be made by the Federal Program Monitor based upon the Plan of Work submitted, past performance, and Federal goals for the EEP.

C. Dates

Program Guidance Documents will be prepared and distributed each year. Each State is allowed thirty (30) days to prepare its own program aimed at achieving the Federal objectives and to submit their Annual Plan of Work (Proposal).

FEDERAL OBJECTIVES FOR THE EEP

EXPERIMENTAL PROGRAMS

(EXAMPLES ONLY)

1. Conduct Experimental EEP's

2. Establish and Operate an Information Retrieval Center

3. Establish and Operate a Linking Program

4. Establish a Reporting and Data Collection System

Figure 5

3-IV PLAN OF WORK

A. Purpose

The Plan of Work serves two purposes. First, it provides a detailed description of what, when and how the State intends to accomplish the work necessary to satisfy the Federal objectives announced in the Program Guidance Document. Secondly, it serves as a proposal to the Federal Program Monitor whose evaluation and approval is required for an Experimental Grant.

B. Description

This is the document prepared by the State Education Agency to specify the work the State intends to do, how the State will do it, and the funds, both State and Federal, that will be needed. It will be specific in detail, addressing itself to the individuals that will be working on the program, and how they will be used and supported including an itemization of salaries.

The Plan of Work will be prepared using the information contained in the Program Guidance Document. The State's task is to determine the objectives and activities that it must accomplish in order to satisfy the Federal objectives. Direct correlation of State and Federal objectives is required. Each State objective will be correlated to a Federal objective by using the first digit of the Federal objective as the first digit in the State objective numbering system.

For example, in Figure 5 are typical Federal objectives for the EEP Experimental Programs as they would be stated in the Program Guidance Document. These are numbered:

1. Conduct Experimental EEP's
2. Establish and Operate the Information Retrieval Center
3. Establish and Operate the Linking Program
4. Establish the Reporting and Data Collection System

A State may decide that their goals for the EEP are:

Establish an EEP

Evaluate the EEP

Establish and Operate the Retrieval Center

Establish and Operate the Linking Program

Establish the Reporting and Data Collection System

Because the State must correlate its objectives to the Federal objectives and identify them numerically, this State has chosen the following numbering system and will use it in its Plan of Work and Statistical/Narrative Reports for the duration of the grant.

1.A Establish an EEP

1.B Evaluate the EEP

2.0 Establish and Operate the Retrieval Center

3.0 Establish and Operate the Linking Program

4.0 Establish and Reporting and Data Collection System

In the Plan of Work, these objectives are listed on the Statistical/Narrative Report form (see Figure 6) just as they will be subsequently reported in the quarterly reports. The numbered objectives will be entered in Column 5 on that form.

The State must also identify the activities it must perform in order to achieve its objectives. These too must be numerically identified, then entered in Column 3 of the Statistical/Narrative Report form (see Figure 6: sections 6.1 - 6.5).

In developing the entire program, a flow chart of required activities is helpful. (A sample flow chart of the State Action Program for the Experimental Phase is shown in Figure 7.)

Once the required activities have been determined, it is necessary to plan manpower needs, cost projections, and start/end dated for each activity. In order to do this planning, while envisioning the total program, the use of a PERT (Program Evaluation and Review Technique) chart is most helpful. It also provides the means for NIE to monitor progress made on each activity.

A PERT chart or a line graph portraying the same information must be included in the Plan of Work. A sample PERT chart for the activities portrayed in the flow chart (Figure 7) is provided in Figure 8. The building units for a PERT chart are:

SI—FUL

1. NAME (typed): *James E. Smith*

2. JOB TITLE: *Director*

3. STATE: *Alaska*

EEP STATISTICAL/NARRATIVE REPORT

PART I - PROGRESS STATISTICS

4. REPORT PERIOD: _____ to _____

DATE: _____

5 FEDERAL/STATE OBJECTIVES	6 PLANNED START DATE	7 PLANNED END DATE	8 REVISED END DATE	9 ACTIVITIES	MANHOURS 10 GE	11 XP	12 YTD	13 ETC	COST 14 GE	15 XP	16 YTD	17 ETC
1.A Establish an EEP												
	5/1/73	*5/22/73*		*1.A.1 Integrate with other State programs*	*060*				*$ 450.*			
	5/1/73	*5/22/73*		*1.A.2 Related State legislative action monitored*	*100*				*750.*			
	5/22/73	*6/1/73*		*1.A.3 Operation and Maintenance criteria determined*	*200*				*1500.*			
	6/1/73	*7/1/73*		*1.A.4 Facilities selected*	*160*				*1200.*			
	9/1/73	*11/1/73*		*1.A.5 Program publicized*	*440*				*1930.*			
	11/1/73	*5/1/74*		*1.A.6 Field test completed for program publicity*	*320*				*2030.*			
	4/1/74	*5/1/74*		*1.A.7 Expansion planned*	*240*				*1250.*			
				Overhead Cost @ 40%					*3644.*			
				Travel					*1000.*			
				Other Direct Costs					*3000.*			
	5/1/73	*6/1/74*		SUMMARY PER OBJECTIVE:	*1520*				*$16754.*			

SAMPLE

FILMED FROM BEST AVAILABLE COPY

Figure 6.1

PART I - PROGRESS STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter number and title of State objective
BLOCK 6	Enter date activity is scheduled to start
BLOCK 7	Enter date activity is scheduled to be completed
BLOCK 8	Enter revised end date of activity if different from Block 7 (mark with an asterisk and explain in Part III).
BLOCK 9	Enter number and title of State activities plus overhead, travel and other direct costs (ODC)
BLOCK 10	Enter Grant Estimate (GE) of manhours for each activity, overhead, travel and ODC's
BLOCK 11	Enter manhours expended (XP) during the report period for activities listed in Block 9
BLOCK 12	Enter YTD (Year To Date) manhour totals expended for each activity listed in Block 9
BLOCK 13	Enter estimate to complete (ETC) in manhours for each activity (Block 10 minus Block 12 unless revised by Program Director)
BLOCKS 14-17	Same as 10-13 except in terms of dollars.

S[illegible]ATU[illegible]

1. NAME (typed): *James E. Smith*

2. JOB TITLE: *Director*

3. STATE: *Alaska*

EEP STATISTICAL/NARRATIVE REPORT

PART I - PROGRESS STATISTICS

4. REPORT PERIOD: _____ to _____

DATE: _____

5 FEDERAL/STATE OBJECTIVES	6 PLANNED START DATE	7 PLANNED END DATE	8 REVISED END DATE	9 ACTIVITIES	MANHOURS 10 GE	11 XP	12 YTD	13 ETC	COST 14 GE	15 XP	16 YTD	1 ETC
1.B Evaluate the EEP	*3/1/74*	*4/1/74*		*1.B.1 Evaluation conducted*	*480*				*$ 2500.*			
				Overhead Costs					*1000.*			
				Travel								
				Other Direct Costs					*500.*			
				SUMMARY PER OBJECTIVE:	*480*				*$ 4000.*			

SAMPLE

Figure 6.2

PART I - PROGRESS STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter number and title of State objective
BLOCK 6	Enter date activity is scheduled to start
BLOCK 7	Enter date activity is scheduled to be completed
BLOCK 8	Enter revised end date of activity if different from Block 7 (mark with an asterisk and explain in Part III).
BLOCK 9	Enter number and title of State activities plus overhead, travel and other direct costs (ODC)
BLOCK 10	Enter Grant Estimate (GE) of manhours for each activity, overhead, travel and ODC's
BLOCK 11	Enter manhours expended (XP) during the report period for activities listed in Block 9
BLOCK 12	Enter YTD (Year To Date) manhour totals expended for each activity listed in Block 9
BLOCK 13	Enter estimate to complete (ETC) in manhours for each activity (Block 10 minus Block 12 unless revised by Program Director)
BLOCKS 14-17	Same as 10-13 except in terms of dollars.

SIGNATURE: _____

1. NAME (typed): *James E. Smith*

2. JOB TITLE: *Director*

3. STATE: *Alaska*

EEP STATISTICAL/NARRATIVE REPORT

PART I - PROGRESS STATISTICS

4. REPORT PERIOD:

_____ to _____

DATE: _____

5 FEDERAL/STATE OBJECTIVES	6 PLANNED START DATE	7 PLANNED END DATE	8 REVISED END DATE	9 ACTIVITIES	MANHOURS 10 GE	11 XP	12 YTD	13 ETC	COST 14 GE	15 XP	16 YTD	17 ETC
2. *Establish and Operate Retrieval Center*	*6/1/73*	*11/1/73*		*2.1 Retrieval system installed*	*2420*				*$ 13040.*			
	7/20/73	*9/1/73*		*2.2 Staff hired*	*80*							
	11/1/73	*5/1/74*		*2.3 Field test completed for Retrieval Center*	*5320*							
				Overhead Costs					*4675.*			
				Travel					*1000.*			
				Other Direct Costs:								
				Computer search capability					*12000.*			
				Microfiche Reader-Printer					*1341.*			
				Microfiche Collections					*7511.*			
	6/1/73	*5/1/74*		SUMMARY PER OBJECTIVE:	*7820*				*$ 42954.*			

SAMPLE

Figure 6.3

PART I - PROGRESS STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter number and title of State objective
BLOCK 6	Enter date activity is scheduled to start
BLOCK 7	Enter date activity is scheduled to be completed
BLOCK 8	Enter revised end date of activity if different from Block 7 (mark with an asterisk and explain in Part III).
BLOCK 9	Enter number and title of State activities plus overhead, travel and other direct costs (ODC)
BLOCK 10	Enter Grant Estimate (GE) of manhours for each activity, overhead, travel and ODC's
BLOCK 11	Enter manhours expended (XP) during the report period for activities listed in Block 9
BLOCK 12	Enter YTD (Year To Date) manhour totals expended for each activity listed in Block 9
BLOCK 13	Enter estimate to complete (ETC) in manhours for each activity (Block 10 minus Block 12 unless revised by Program Director)
BLOCKS 14-17	Same as 10-13 except in terms of dollars.

S[illegible]TU[illegible]

1. NAME (typed): *James E. Smith*

2. JOB TITLE: *Director*

3. STATE: *Alaska*

EEP STATISTICAL/NARRATIVE REPORT

PART I - PROGRESS STATISTICS

4. REPORT PERIOD: _____ to _____

DATE: _____

5 FEDERAL/STATE OBJECTIVES	6 PLANNED START DATE	7 PLANNED END DATE	8 REVISED END DATE	9 ACTIVITIES	MANHOURS 10 GE	11 XP	12 YTD	13 ETC	COST 14 GE	15 XP	16 YTD	17 ETC
3. *Establish and Operate Linking Program*	*7/1/73*	*7/20/73*		*3.1 Job announced*	*100*				*$ 1200.*			
	7/20/73	*9/1/73*		*3.2 Agents hired*	*80*				*600.*			
	9/1/73	*9/15/73*		*3.3 Agents trained*	*360*				*2480.*			
	9/15/73	*5/1/74*		*3.4 Field test completed for Agent program*	*1960*				*12350.*			
				Overhead Costs					*2086.*			
				Travel					*2400*			
				Other Direct Costs:								
				Training support including accomodations					*4600.*			
	7/1/73	*5/1/74*		SUMMARY PER OBJECTIVE:	*2500*				*$ 25710.*			

SAMPLE

Figure 6.4

PART I - PROGRESS STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter number and title of State objective
BLOCK 6	Enter date activity is scheduled to start
BLOCK 7	Enter date activity is scheduled to be completed
BLOCK 8	Enter revised end date of activity if different from Block 7 (mark with an asterisk and explain in Part III).
BLOCK 9	Enter number and title of State activities plus overhead, travel and other direct costs (ODC)
BLOCK 10	Enter Grant Estimate (GE) of manhours for each activity, overhead, travel and ODC's
BLOCK 11	Enter manhours expended (XP) during the report period for activities listed in Block 9
BLOCK 12	Enter YTD (Year To Date) manhour totals expended for each activity listed in Block 9
BLOCK 13	Enter estimate to complete (ETC) in manhours for each activity (Block 10 minus Block 12 unless revised by Program Director)
BLOCKS 14-17	Same as 10-13 except in terms of dollars.

SIGNATURE: _____

1. NAME (typed): *James E. Smith*

2. JOB TITLE: *Director*

3. STATE: *Alaska*

EEP STATISTICAL/NARRATIVE REPORT

PART I - PROGRESS STATISTICS

4. REPORT PERIOD:

_____ to _____

DATE: _____

5 FEDERAL/STATE OBJECTIVES	6 PLANNED START DATE	7 PLANNED END DATE	8 REVISED END DATE	9 ACTIVITIES	MANHOURS 10 GE	11 XP	12 YTD	13 ETC	COST 14 GE	15 XP	16 YTD	17 ETC
4. Establish Reporting and Data Collection System	*6/1/73*	*8/1/73*		*4.1 Record keeping requirements designed*	*320*				*$ 2400.*			
	8/1/73	*9/1/73*		*4.2 Reporting procedures designed*	*320*				*2400.*			
	9/1/73	*5/1/74*		*4.3 Field test completed for reporting and data collection system*	*1600*				*8310.*			
				Overhead Costs					*13110.*			
				Travel								
				Other Direct Costs								
	6/1/73	*5/1/74*		SUMMARY PER OBJECTIVE:	*2240*				*$ 26200.*			
Total Program	*5/1/73*	*5/1/74*		SUMMARY	*14560*				*$ 115624.*			

SAMPLE

Figure 6.5

PART I - PROGRESS STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter number and title of State objective
BLOCK 6	Enter date activity is scheduled to start
BLOCK 7	Enter date activity is scheduled to be completed
BLOCK 8	Enter revised end date of activity if different from Block 7 (mark with an asterisk and explain in Part III).
BLOCK 9	Enter number and title of State activities plus overhead, travel and other direct costs (ODC)
BLOCK 10	Enter Grant Estimate (GE) of manhours for each activity, overhead, travel and ODC's
BLOCK 11	Enter manhours expended (XP) during the report period for activities listed in Block 9
BLOCK 12	Enter YTD (Year To Date) manhour totals expended for each activity listed in Block 9
BLOCK 13	Enter estimate to complete (ETC) in manhours for each activity (Block 10 minus Block 12 unless revised by Program Director)
BLOCKS 14-17	Same as 10-13 except in terms of dollars.

FLOW CHART

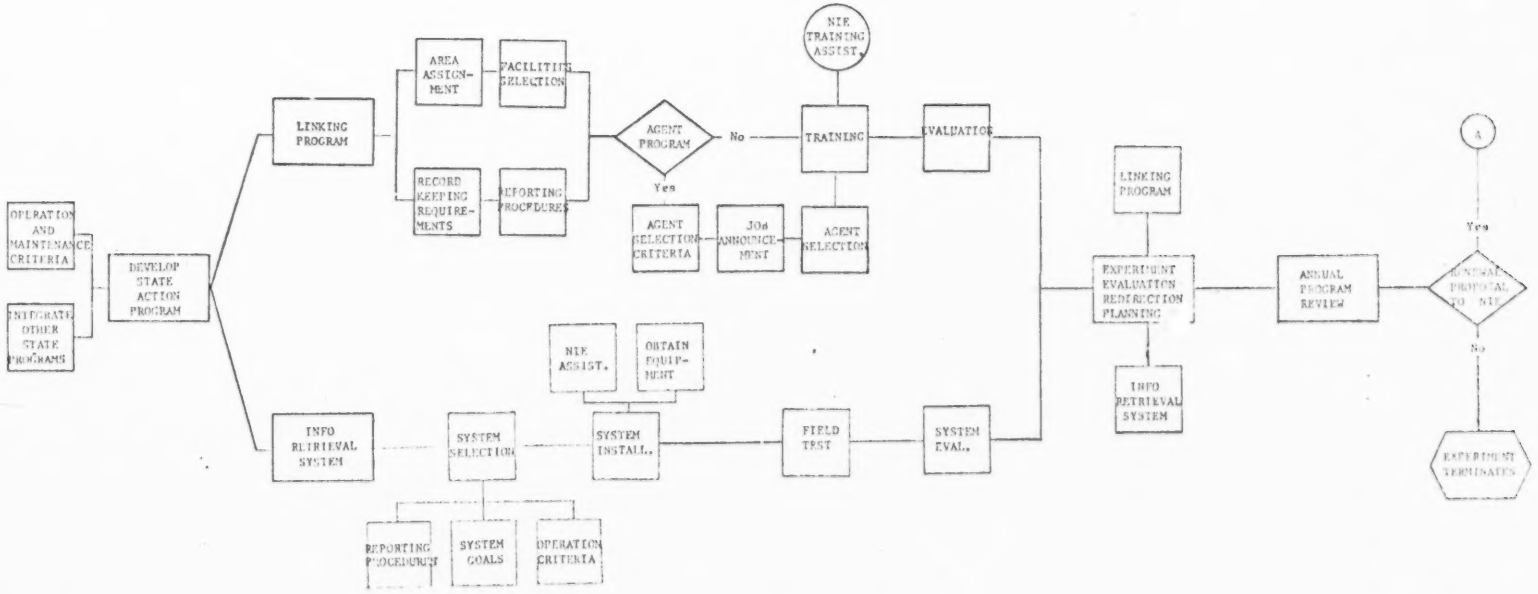
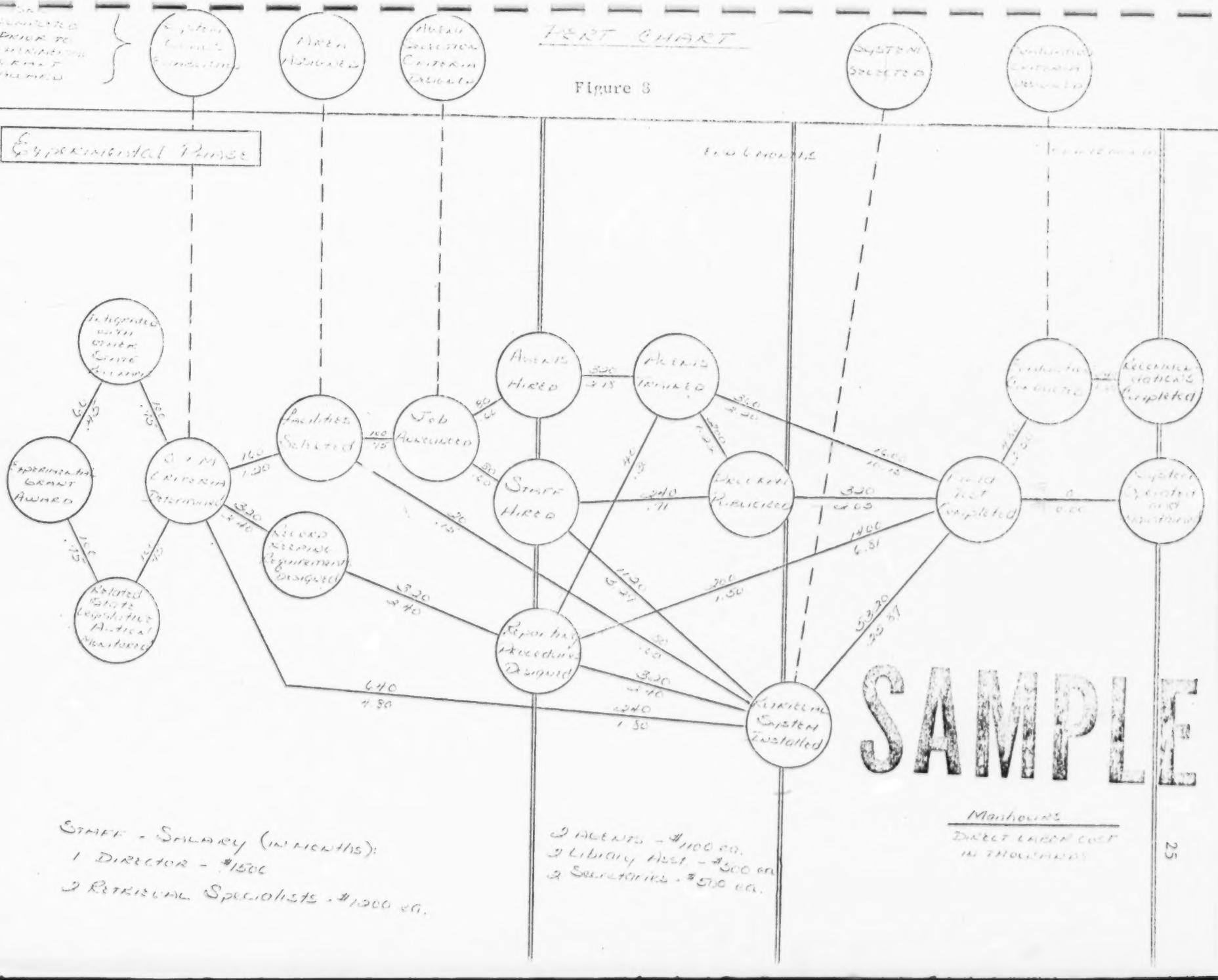
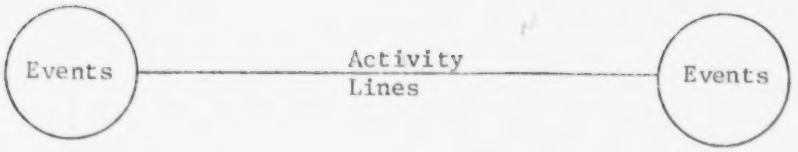


Figure 7

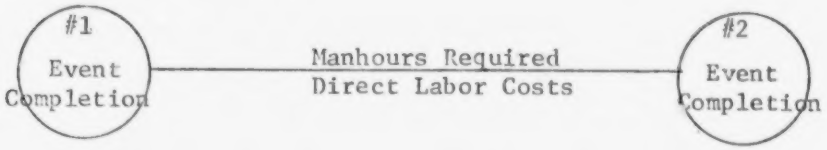
PERT CHART

Figure 8





In Figure 8, these units provide the structure for these items:



This shows that work on Event #2 cannot begin until Event #1 has been completed. The activity line preceding Event #2 shows how many manhours will be required to complete this event, and the cost for the labor. From the projection of manhours, and an understanding of the interrelationships of the activities, the start and end dates of each activity can be determined.

Once the PERT has been completed, then the dates, manhours, and cost can easily be entered into the appropriate columns of the Statistical/Narrative form (see Figure 6) in the Plan of Work: Planned Start Date and Planned End Date in Columns 6 and 7 respectively; the Grant Estimate of manhours to complete an activity in Column 10; and the Grant Estimate of the Cost for the Direct Labor in Column 14. Overhead Costs, Travel, and Other Direct Costs are then entered in Column 14, and all are totaled by objective in order to project the cost for accomplishing that objective.

Thus, the Plan of Work will present the State objectives, and the activities required to accomplish those objectives. The interrelationships and sequence of activities will be shown on a PERT chart or a line graph with the projected manhours and cost for each activity. In this way, the Federal Program Monitor, the State Officials, plus the individuals charged with doing the work, will have an accurate description of the work to be done. Later, the Statistical/Narrative Reports will track the

work using the activities, manhours and cost estimated in the Plan of Work.

A detailed budget will be submitted with the Plan of Work. This budget will clearly and in detail show:

Total funds for each activity

Federal funds requested for each activity

Total funds required

Total Federal funds required

States should also submit an organizational chart of the SEA showing the relative position of the Educational Extension Program. This will be considered in determining which States are to receive grants.

In summary, States desiring to participate in the Experimental Program must include in their Plan of Work:

(a) Plans for integrating the EEP with existing resources, information, and extension service programs in the State: plans should describe how steps will be taken to integrate services to local agencies, State staff, extension agents, and educators in districts not served by extension agents. This aspect is of crucial importance if both the State and Federal programs are to attain maximum effectiveness. It will receive substantial consideration in selecting the States to receive the Experimental Grants.

(b) Methods to be used in selecting local education agencies and linking agents: plans must be presented describing the methods to be used to interest local agencies in participating. The plans must include the criteria for reviewing the qualifications and program plans of those agencies, and must outline the procedures to be used in the final selection of areas to be served by the EEP.

(c) Procedures for recruiting and employing staff: the criteria to be used in screening, selecting and appointing new staff members should be presented and include agreements with local districts for employment of the extension agents and monitoring the linking program.

(d) Methods to be used in training staff.

(e) Methods for identifying and obtaining information resources for the Information Retrieval Center: resources available through other State programs must be identified. They may include funds, staff, equipment or materials. Programs should capitalize on the development of cooperative relationships between the extension program and existing State Agency assets.

(f) Detailed plans for the provision of technical assistance that might be requested by local agents; this should include an identification of resource people and agencies

(g) Name, title, address, and resumes of the EEP Director and/or Manager

(h) An organizational Chart of the SEA

(i) A narrative description of the State plans for the EEP including a statement of need

(j) A statement as to the impact successful achievement of the objectives will have upon education in the State

(k) State objectives correlated with Federal objectives for the EEP

(l) Activities the State will perform to accomplish the objectives

(m) A PERT chart showing the interrelationships and sequence of activities

(n) The projected dates, manhours, and cost of each activity and objective

(o) Overhead costs, travel, and other direct costs

(p) A detailed budget showing total funds and Federal funds for each activity and for the whole project. (Include "in-kind" contributions.)

C. Dates

Plans will be prepared and submitted to the Federal Program so as to arrive not later than 10 months after Grant initiation.

3-V STATISTICAL/NARRATIVE REPORT

A. General

The Statistical/Narrative Report is the key management report for the EEP. This means that it must represent the views of the State Board of Education. It will be signed by the Program Director appointed by the SEA.

This report will be in three parts, Part I: Progress Statistics, Part II: Operational Statistics, and Part III: Narrative. Its purpose is to provide management statistics concerning the Program's progress and operations, both positive or negative, toward achieving both Federal and State objectives and to provide a narrative summary of progress and operations.

Specifically, this report will provide the Federal Program Monitor with the information necessary for planning, and if needed, review of resources for subsequent three and six month periods.

B. Content

(1) General

The specific content of this report and the format for its presentation will be devised as a part of Task III, reference contract; however the basic contents and format concept are described below. The report format is being constructed so that the statistical parts may be easily converted to a computer prepared report at the discretion of each State and the Federal Program Monitor. The eventual ADP system of reporting will be able to report progress made by comparing estimated manhours to complete with manhours expended. The manhours expended will be made available through use of the Daily Activity Report (see paragraph 3-VI). This would provide information only on where progress should be in relation to the original estimate. What progress actually has been made and the current status will be reported by management in the narrative portion (Part III) of this report.

(2) PART I: Progress Statistics

This portion of the report is intended to display attainment of objectives versus resources allocated and expended in terms of manhours and dollars. These progress statistics are recorded on the form which is included in the Plan of Work (see Figure 6).

Column 5 of the Statistical/Narrative Report (see Figure 9.1) lists the State objective, as contained in the State Plan of Work and as approved by virtue of award of the Federal Grant. These objectives are correlated to the Federal objectives by the same first digit of the identifying number. Columns 6 and 7 show the Planned Start Date and the Planned End Date respectively for the objective and then in turn for each activity.

Column 8 provides space for revision of the estimated completion date as required by work progress. This date will be

S___TU___

1. NAME (typed): *James E. Smith*

2. JOB TITLE: *Director*

3. STATE: *Alaska*

EEP STATISTICAL/NARRATIVE REPORT

PART I - PROGRESS STATISTICS

4. REPORT PERIOD:

1 July 73 to *30 Sept 7*

DATE: *15 Sept 73*

5 FEDERAL/STATE OBJECTIVES	6 PLANNED START DATE	7 PLANNED END DATE	8 REVISED END DATE	9 ACTIVITIES	MANHOURS 10 GE	11 XP	12 YTD	13 ETC	COST 14 GE	15 XP	16 YTD	17 ETC
1.A Establish and Expand the EEP	*5/1/73*	*5/22/73*	*5/17/73**	*1.A.1 Integrate with other State programs*	*060*	*003*	*004*	*056*	*$ 450.*	*$ 22.50*	*$ 30.00*	*$ 420.0*
	5/1/73	*5/22/73*		*1.A.2 Related State legislative action monitored*	*100*	*005*	*007*	*093*	*750.*	*37.50*	*42.50*	*707.5*
	5/22/73	*6/1/73*		*1.A.3 Operation and Maintenance criteria determined*	*200*	*012*	*020*	*180*	*1500.*	*90.00*	*150.00*	*1350.0*
	6/1/73	*7/1/73*		*1.A.4 Facilities selected*	*160*	*008*	*010*	*150*	*1200.*	*60.00*	*75.00*	*1065.0*
	9/1/73	*11/1/73*		*1.A.5 Program publicized*	*440*	*-0-*	*-0-*	*440*	*1930.*	*0.00*	*0.00*	*1930.0*
	11/1/73	*5/1/74*		*1.A.6 Field test completed for program publicity*	*320*	*020*	*040*	*280*	*2030.*	*126.80*	*253.60*	*1976.4*
	4/1/74	*5/1/74*		*1.A.7 Expansion planned*	*240*	*-0-*	*-0-*	*240*	*1250*	*0.00*	*0.00*	*1250.0*
				Overhead Cost @ 40%					*3644.*	*134.72*	*220.44*	*3423.5*
				Travel					*1000.*	*75.00*	*163.00*	*837.0*
				Other Direct Costs					*3000.*	*0.00*	*0.00*	*3000.0*
	5/1/73	*5/1/74*		SUMMARY PER OBJECTIVE:	*1520*	*048*	*081*	*1439*	*$ 16754.*	*$ 546.52*	*$ 934.54*	*$ 15819.4*

SAMPLE

Figure 9. 1

PART I - PROGRESS STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter number and title of State objective
BLOCK 6	Enter date activity is scheduled to start
BLOCK 7	Enter date activity is scheduled to be completed
BLOCK 8	Enter revised end date of activity if different from Block 7 (mark with an asterisk and explain in Part III).
BLOCK 9	Enter number and title of State activities plus overhead, travel and other direct costs (ODC)
BLOCK 10	Enter Grant Estimate (GE) of manhours for each activity, overhead, travel and ODC's
BLOCK 11	Enter manhours expended (XP) during the report period for activities listed in Block 9
BLOCK 12	Enter YTD (Year To Date) manhour totals expended for each activity listed in Block 9
BLOCK 13	Enter estimate to complete (ETC) in manhours for each activity (Block 10 minus Block 12 unless revised by Program Director)
BLOCKS 14-17	Same as 10-13 except in terms of dollars.

IGNATURE: _____

. NAME (typed): _____

. JOB TITLE: _____

. STATE: _____

EEP STATISTICAL/NARRATIVE REPORT

PART II - OPERATIONAL STATISTICS

4. REPORT PERIOD:

_____ to _____

DATE: _____

Section A - INFORMATION RETRIEVAL CENTER

. AUDIENCE			SEARCHES			
	Quantity			6 Number Completed	7 Average Hours per Search	8 Average Turn-around Time
ype	Report Period	YTD				
			LEVEL A Report Period - - - -			
			YTD			
			LEVEL B Report Period - - - -			
			YTD			
			LEVEL C Report Period - - - -			
			YTD			
			LEVEL D Report Period - - - -			
			YTD			

Section B - LINKING OPERATIONS

	9 Number Initial Contacts	10 Number Follow-up Contacts	11 Number Document Sets Requested	12 Number Document Sets Reported Used	13 Number Document Sets Reported Irreleva
Report Period					
YTD					

Section C - SEA TOTALS

	14 Number of Programs Changed	15 Number of new Programs Instituted	16 Number of Students Affected
Report Period YTD			
YTD			

Figure 9.2

PART II - OPERATIONAL STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4 Self explanatory

BLOCK 5 Enter audience type selected from Chart A below under column labeled "Type." Enter number of this audience for which searches were conducted during the report period under block so titled. Enter the total of this audience type served for the year to date under the block labeled "YTD." Repeat as often as required. Attach additional sheets as needed.

BLOCK 6 Enter total number of inquiries completed per level for report period and YTD

BLOCK 7 Enter average working hours per search (nearest 1/4 hour) - report period and YTD (all levels)

BLOCK 8 Enter average turn around time in working hours (received until mailed) for report period and YTD (all levels)

BLOCK 9 Enter number of initial contacts made - report period and YTD

BLOCK 10 Enter number of follow-up contacts made - report period and YTD

BLOCK 11 Enter number of document sets delivered - report period and YTD

BLOCK 12 Enter number of document sets that were reported used by recipient - report period and YTD

BLOCK 13 Enter number of document sets reported irrelevent by recipient - report period and YTD

BLOCK 14 Enter number of Educational/Administrative programs changed because of EEP - report period and YTD

BLOCK 15 Enter number of new programs, instituted by clients due to products furnished - report period and YTD

BLOCK 16 Enter number of students affected by changes and new programs - report period and YTD

CHART A

AUDIENCE TYPE

LEVEL	TYPE
A State	a Student
B Federal	b Teacher
C Local or Intermediate	c Administrator
D Higher Education	d Learning Resource
E High School	e Pupil Personnel/ Counselor
F Middle School	f Researcher
G Elementary School	g Public
H Other	h Policy Board Member
	i Information Agent
	j Other

EXAMPLE: Gb = Elementary Teacher

CHART B

SEARCH LEVELS

A. Orders for specific documents (e.g. microfiche, PREP re-reports, bibliographies, interpreted summaries, etc.)

B. Requests that can be answered by references or by one or more specific documents, such as in A. This includes copies of or use of logic for previously conducted searches, other off-the-shelf items, identification of consultants, and referrals to other sources or individuals.

C. Standard Searches that are answered by resumes and/or fiche from an individualized search of ERIC sources. It is assumed that resumes are screened for relevance. There may also be some additional files searched such as files of local practices, ALERT etc.

D. Augmented Searches that involve extensive searching and screening of files in addition to ERIC, NCEC publications, and previously prepared materials. Such searches will frequently contain a majority of non ERIC materials and references, and involve considerable expenditure of staff time.

changed by the SEA Program Director as he sees fit. An asterisk notation by the new date and narrative explanation in Part III are required to bring this change to the Federal Monitor's attention, when such a date is changed. If a date entered is in the past, it will signal that the activity was completed on that day.

Column 9 contains the State activities as listed in the Plan of Work. Identifying numbers use the same first digit as the objective they support and are then sequential. This column also contains (1) Overhead Costs, (2) Travel and (3) Other Direct Costs by State objective.

If the State Director decides to incorporate an additional activity into his work plan, he must notify NIE as soon as possible, following the procedures described in Task II, reference contract. He must also include the additional activity into Part I: Progress Statistics of this report. To do this, he must identify the objective that the activity will support, add it to the page for that objective, and compute the dates, manhours, and cost. The new activity should be noted by an asterisk when it is entered, and an explanation must be included in Part III, the Narrative section of the report.

Columns 10 through 13 of the Progress Statistics reflect the progress, measured in manhour expenditures. Column 10 reflects the grant estimate (the total manhours expected to be used for this activity). Column 11 reflects the manhours expended for this activity during this report period. Column 12 shows the year to date (YTD) or cumulative number of manhours expended. Column 13 shows the estimate to complete the activity. This will be the difference between the year to date (Column 12) and grant estimate (Column 10). If the SEA Project Director determines that either more or less manhours are required to complete an activity then he would change the figure in Column 13 as his revised estimate dictates, identify it with an asterisk, and provide an explanation in Part III (Narrative) of this report.

Columns 14 through 17 show the status and progress made in terms of dollars expended. Column 14 contains the grant estimate for the activity as contained in the State Plan of Work

SIGNATURE: _____		4. REPORT PERIOD:
1. NAME (typed): _____	EEP STATISTICAL/NARRATIVE REPORT	_____ to _____
2. JOB TITLE: _____	PART III - NARRATIVE	
3. STATE: _____		DATE: _____

PART I - PROGRESS STATISTICS

A. *Cost Comments*

This section is used to explain or amplify the statistics concerning progress made and funds expended. Comments are mandatory when: (1) dates are changed, (2) manhour or costs either actual or projected exceed grant estimates and (3) when an activity is added or deleted.

B. *General Comments*

This portion is used to explain or identify in narrative format progress or lack of progress made during the report period. Problem areas and their proposed solutions will be identified here. This is the place for management remarks concerning progress made on establishing the EEP in the state. This will include highlighting achievement of significant goals or milestones. Problems areas reported will include: (1) a statement of the problem, (2) related facts bearing on the problem, (3) discussion of these facts as required, (4) alternative courses of action, (5) recommended solution and (6) specific action(s) requested of the Federal Program Monitor.

C. *MAJOR ACTIVITIES DURING THE REPORT PERIOD*

This portion is used to describe the major thrust of efforts made in progress during the period. It will depict the project manager's concept of the major steps accomplished toward his goals.

FIGURE 9.3

STATISTICAL/NARRATIVE REPORT
PART III - NARRATIVE

Instructions

Part I - Progress Statistics

A. Cost Comments
Provide explanatory notes on progress statistics and funds expenditure. Include changes in 1) dates, 2) actual or projected manhours or costs, 3) activities.

B. General Comments
Provide explanatory notes on program progress, including: 1) problem areas and solutions, 2) management remarks.

C. Major Activities
Provide description of major efforts in accomplishing program goals.

Part II - Operation Statistics

A. Information Retrieval Center
Provide explanatory notes on operation statistics of retrieval center: turn around time, technical problems, changes in search request volume and causes, search rate per employee, etc. Include comments on operational achievements.

B. Linking Operations
Comments on any phase of the Linking Operation: relationship between type of program and such items as geography and demographic peculiarities in terms of response volume, etc.

C. Changes Effected
Describe changes resulting from the EEP, its effect and how it was directly attributed to EEP. Include appropriate case studies.

Part III - Special Topics

A. Comment on topics of special interest to Project Director.

B. Comment on special Federal Objectives announced for current fiscal year.

C. Other comments not covered in other sections.

SIGNATURE: _____ 1. NAME (typed): _____ 2. JOB TITLE: _____ 3. STATE: _____	EEP STATISTICAL/NARRATIVE REPORT PART III - NARRATIVE	4. REPORT PERIOD: _____ to _____ DATE: _____

PART II - OPERATION STATISTICS

A. INFORMATION RETRIEVAL CENTER

Use this section to amplify or explain the statistics concerning the operation of the retrieval center. This section should also be used for comments concerning operational achievements that are of sufficient importance to pass on for other participants to use. Turn around time, technical problems encountered, inquiry volume changes due to specific reasons, search rate per employee, and many other items represent areas of interest to readers of this report and should be reported.

B. LINKING OPERATIONS

This portion of the report shall be used first for explanation of the statistics contained in Section B, Part II of the report. However, remarks concerning all or any phase of the linking operation should be included. The type linking program used, (i.e. full time agent, part time agent, etc.) should be identified and where appropriated commented upon. Items such as significant differences in volume of responses between agent areas of responsibility, high incident rates of irrelevant document sets being delivered and such items as geography, demographic peculiarities and others should be commented upon.

C. CHANGES EFFECTED

Report each change effected as a result of the EEP. These comments will be as complete as possible, describing the change itself, the effect it played and how it was directly attributable to the EEP. Attach case studies as appropriate. (See Figure 10 for recommended case study format.)

PART III - SPECIAL TOPICS

Use this section for comment upon topics of special interest to the Project Director that are not reported in other sections.

Use this section for comment upon special Federal objectives announced for the current fiscal year.

FIGURE 9.4

STATISTICAL/NARRATIVE REPORT
PART III - NARRATIVE

Instructions

Part I - Progress Statistics

A. Cost Comments
Provide explanatory notes on progress statistics and funds expenditure. Include changes in 1) dates, 2) actual or projected manhours or costs, 3) activities.

B. General Comments
Provide explanatory notes on program progress, including: 1) problem areas and solutions, 2) management remarks.

C. Major Activities
Provide description of major efforts in accomplishing program goals.

Part II - Operation Statistics

A. Information Retrieval Center
Provide explanatory notes on operation statistics of retrieval center: turn around time, technical problems, changes in search request volume and causes, search rate per employee, etc. Include comments on operational achievements.

B. Linking Operations
Comments on any phase of the Linking Operation: relationship between type of program and such items as geography and demographic peculiarities in terms of response volume, etc.

C. Changes Effected
Describe changes resulting from the EEP, its effect and how it was directly attributed to EEP. Include appropriate case studies.

Part III - Special Topics

A. Comment on topics of special interest to Project Director.
B. Comment on special Federal Objectives announced for current fiscal year.
C. Other comments not covered in other sections.

and awarded by the Federal Grant. Columns 15-17 reflect, in turn, the dollars expended during the report period, year to date totals, and estimate to complete. The estimate to complete will reflect the differences between the grant estimate (Column 14) and the year to date expenditures (Column 16) unless the SEA Program Director changes it. Should the estimate to complete be changed, it will be highlighted with an asterisk and explained later in the narrative.

Following the State activities, a summary will be prepared by State objective. This summary will reflect the earliest start date and latest end date of the activities listed as being necessary for accomplishing the objective. The manhour and cost portions of the report will reflect totals for all of the activities. This will provide Federal and State Managers with a summary of activities being performed to accomplish the Federal/State objectives and to comply with provisions of the grant award.

(3) Part II: Operational Statistics

The statistics contained in this part of the report (see Figure 9.2) pertain to the operation of the EEP rather than to development progress. This part contains statistics for both the Information Retrieval Center and for the Linking Agents themselves. The State Program Director will have to collect the Statistics to obtain the data for reporting in Section C, SEA Totals.

In general, this part of the report is intended to measure the effectiveness of the program itself and to gauge the efficiency of the Retrieval Center and the linking program. Section A provides specific and recurring information on the audience served by the Retrieval Center, plus the workload and efficiency in processing search requests.

Section B contains statistics concerning the activity of the linking program (agent or other). Section C is used to provide information on the actual changes effected because of the program, and its impact upon students.

Preparation instructions for this form are contained on the reverse side of the form (Figure 9.2).

(4) Part III: Narrative

This portion of the report will be used to add to the statistics contained in Parts I and II. It will be used to (1) amplify the statistical story, (2) explain the differences between scheduled and attained progress, as highlighted by an asterisk in Part I of this report, (3) provide objective appraisals of significant problems and provide planned solutions, (4) explain failures, and (5) recommend allocations or reallocations of resources. It also provides the place for management appraisal of the entire project and for reporting of problem areas. Significant achievements or failures and several "Case Study" type reports must be included as attachments to this part of the report. These case studies are necessary to provide substantial proof of the program's effectiveness at the National level.

A case study format which will be used for these reports is attached as Figure 10. A format for the Narrative Report is shown in Figure 9.3.

C. Dates

Quarterly, to reach the Federal Monitor no later than the 15th day of the month following end of the quarter.

3-VI DAILY ACTIVITY REPORT

A. Purpose

The Daily Activity Report (See Figure 11) serves to direct the Linking Agent and Retrieval Center personnel toward achievement of Federal and State objectives. It reports the work hours devoted by those individuals toward achieving the objectives and completing the activities. In doing this, the report relates the number of hours worked to the objectives established at Federal/State level and provides a means of monitoring progress toward the attainment of these objectives. This allows measurement of resources used versus resources allocated.

CASE STUDY RECOMMENDED FORMAT

I. TOPIC: Describe the topic in a narrative paragraph.

II. REQUESTER/SOURCE: Identify source of request, job title and address.

III. SEQUENCE OF EVENTS: Itemize the sequence of events as they occurred. Include the activities of retrieval and agent personnel as well as activities of other agencies or individuals. Specify dates of events as appropriate.

IV. RESULTS OF ACTION: Summarize the results of the activity, highlighting positive or negative aspects reflecting on the EEP. State in measureable terms how education was improved as a result of EEP activity. If possible state such items as dollar benefits, improved management systems, persons affected, and how they were affected.

V. LESSONS LEARNED: Identify and explain those lessons learned that will benefit the EEP Program in this and other states.

VI. ACTION STILL REQUIRED: Specify remaining action to be taken and person(s) responsible as a result of this topic.

Figure 10

SIGNATURE: _____

1. NAME (typed): James E. Smith
2. JOB TITLE: Director
3. SOCIAL SECURITY NUMBER: 339-46-2092
4. STATE: Alaska

EDUCATIONAL EXTENSION PROGRAM

DAILY ACTIVITY REPORT

5. REPORT PERIOD: 3 Oct 73 to 8 Oct 73

6. DATE: Oct 73

7 DATE	8 STATE ACTIVITY LINE NUMBER	9 TITLE OF OBJECTIVE	10 ACTIVITY PERFORMED	11 AUDIENCE TYPE/QTY	TYPE/QTY	TYPE/QTY	12 TIME HOURS	13 REMARKS
10/2	1.A.3	O & M Criteria	Research	None			4.0	
	2.1	Operate Retrieval Center	Staff Selection	Ag/ 3			3.0	
	4.1	Reporting & Data Collection	Report Hmts.	None			1.0	
10/3	1.A.5	Publicity	Speech	Gb 15	Eb 15	Fb 16		Northeastern District
				Dc 8	Ee 7	Fe 9	1.5	Teacher Meeting
	1.A.3	O & M Criteria	Research	None			5.5	
	4.3	Reporting & Data Collection	Search Negotiation	Ec 1			1.0	Request No. 3-015-72
10/4								

SAMPLE

Figure 11

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter period of time report covers (i.e. 10/2/73 - 10/8/73)
BLOCK 6	Enter date signed
BLOCK 7	Self explanatory
BLOCK 8	Enter State Objective Line Number from State Plan of Work
BLOCK 9	Enter title of State Objective (i.e. Expansion Planned)
BLOCK 10	Enter activity engaged in (i.e. training, seminar, etc.)
BLOCK 11	Select type audience from Chart A below and enter designators under Type and indicate number of people involved
BLOCK 12	Enter hours worked
BLOCK 13	Self explanatory

CHART A - AUDIENCE TYPES

LEVEL		TYPE	
A	STATE	a	Student
B	FEDERAL	b	Teacher
C	LOCAL OR INTERMEDIATE	c	Administrator
D	HIGHER EDUCATION	d	Learning Resource Service
E	HIGH SCHOOL	e	Pupil Personnel/Counselor
F	MIDDLE SCHOOL	f	Researcher
G	ELEMENTARY	g	Public
H	OTHER	h	Policy Board Member
		i	Information Agent
		j	Other

EXAMPLE: Elementary School Teacher = Gb

NOTE: Use as many lines per day as required.

The report provides the number and audience type being served which enables management to determine that the program is serving those intended and if necessary, provides information for program redirection.

Additionally, it could serve as an employee time sheet for employee salary distribution.

B. Content

The Daily Activity Report is a statistical report that is prepared daily by the individuals participating in the EEP. It consists of a simple fill-in type form that will facilitate capture of certain statistical information on a daily basis.

The report relates the work being performed to the line number (Column 8) of the State activity as contained in the State Plan of Work. Column 9 of the report format provides a ready reference to the activity by providing a brief subject title. Column 10 provides a space for identification of the type activity being performed by the person completing the form (i.e. teaching, briefing, travel, research, administrative, etc.). The space for audience type is keyed to several pre-numbered catagories of audience listed on the reverse side of the form. As many lines as required will be used for each day's activity report.

C. Dates

Daily reports will be forwarded to the EEP Director at the end of each week. The State EEP Director will retain these reports on hand and have them available on call for the Federal Program Monitor for the duration of the Grant plus six months.

3-VII PROGRAM REVIEWS

Program reviews will be conducted by the Federal Monitor periodically for each State.

These annual reviews will be conducted by a team headed by a member of the NIE Staff. The purpose of the review will be (1) to

determine achievement of Federal/State objectives as announced in the Program Guidance Document, (2) to evaluate the effect of the program upon the State Education program, and (3) to prepare recommendations for future direction of State Program.

The review will be scheduled for approximately four (4) working days as shown below:

First Day:

2 hours - team assembly/orientation

2 hours - introduction to State officials and explanation of procedure

4 hours - State presentation

Second and Third Days:

8 hours - review of programs

Fourth Day:

4 hours - Report Preparation

2 hours - Critique/exit interview

An official written report will be furnished the SEA within 30 working days after the review is completed.

4-IV EVALUATION CRITERIA FORM

NIE: Tear off this sheet when the completed evaluation is returned.

- -

EDUCATION EXTENSION PROGRAM
EVALUATION OF STATE PROPOSALS
INTERNAL RECORD

To be filled in by NIE:

TO: *Mr. Joseph Small* DATE SENT FROM NIE: *5/6/73*

(Address)

STATE: *Arkansas*

PROPOSAL TITLE: *Arkansas Education Dissemination Project Proposal*

PURPOSE: *Evaluate attached Proposal for NIE Grant*

DATE REQUIRED: *Postmarked by 5/13/73*

ENCLOSURES: *1 Proposal, 1 Evaluation Criteria Form, 1 copy of Plan of Work (Proposal) requirements, 1 copy of Program Guidance Document*

- -

DATE: _____

TO: NATIONAL INSTITUTE OF EDUCATION
400 MARYLAND AVENUE, S.W.
WASHINGTON, D.C. 20202

Proposal evaluation has been completed.

DATE RECEIVED BY UNDERSIGNED: _____

DATE COMPLETED: _____

MANHOURS EXPENDED: _____

_____
Signature

_____
Name

_____
Title

EVALUATION CRITERIA for STATE PROPOSALS
to the EDUCATION EXTENSION PROGRAM

State Submitting Proposal: _____

Name of Reader: _____

Area of Competence: _____

This form is to be used by all persons, NIE staff and field readers, in evaluating the proposals sent by states wishing to participate in the EEP. The proposal should be evaluated in the context of the Program Guidance Document and Plan of Work guidelines. (The maximum possible score is 50 points.)

Summary of Points (to be filled in last)		Points Awarded
Section I:	Program Development	
ITEM 1:	ESTABLISHING THE RETRIEVAL CENTER	_____ (0-8)
ITEM 2:	ESTABLISHING THE LINKING PROGRAM	_____ (0-8)
ITEM 3:	ESTABLISHING THE SYSTEM FOR COLLECTING AND REPORTING DATA	_____ (0-6)
ITEM 4:	ESTABLISHING AN EVALUATION SYSTEM	_____ (0-6)
Section II:	Planning Elements	
ITEM 1:	ORGANIZATION CHART	_____ (0-4)
ITEM 2:	OBJECTIVES AND ACTIVITIES	_____ (0-6)
ITEM 3:	GRAPHIC REPRESENTATION	_____ (0-4)
ITEM 4:	BUDGET	_____ (0-4)
ITEM 5:	DIRECTOR	_____ (0-4)
	Total:	[ ] (0-50)

Notation of strong and weak elements of the program:

I ____ do
____ do not
____ provisionally
recommend this proposal be accepted for a grant. (State any provisions.)

Signed: _____

Date: _____

Section I: Program Development

This section analyzes the proposal according to four major components of the program development. Each component can receive a maximum of 2 points using this system:

Award 0-2 points: The OPERATION AND MAINTENANCE aspects of this item are well planned; that is, the proposed activities, technical requirements, program strategy, justification, and management are described sufficiently enough to assure the reader that the program has a reasonable chance for success.

Award 0-2 points: The PERSONNEL requirements, definition of who will perform the given tasks or job descriptions, criteria for selection, plans for recruitment and training, and the availability of persons with the required skills will produce the competence required to make the program successful.

Award 0-2 points: The SUPPORT items such as funds, office space, clerical assistance, supplies, computer time, etc., are provided in sufficient quantities to assure the reader that the listed program item will function successfully.

Award 0-2 points: There is STATE CONTRIBUTION to this item in terms of funds, personnel, in-kind support, and/or other resources in sufficient quantities to convince the reader of the state's interest in continuing and strengthening the program.

- -

ITEM 1: ESTABLISHING THE RETRIEVAL CENTER: This includes access and utilization of computer facilities, ERIC files, consultants, and/or other resources for gathering and processing the requested information.

Awarding of Points:		
	Operation and Maintenance _____	(0-2)
	Personnel _____	(0-2)
	Support _____	(0-2)
	State Contribution _____	(0-2)
	Total Points Awarded: [ ]	(0-8)

Section I (con't.)

ITEM 2: ESTABLISHING THE LINKING PROGRAM: Providing information to the user through the selection of target districts, planned publicity, assessment of needs, establishment of communication links, and later follow-up of assistance constitutes the essential function of the Linking Program.

Awarding of Points:	Operation and Maintenance	_____	(0-2)
	Personnel	_____	(0-2)
	Support	_____	(0-2)
	State Contribution	_____	(0-2)
	Total Points Awarded	_____	(0-8)

Brief Explanation:

ITEM 3: ESTABLISHING THE SYSTEM FOR COLLECTING AND REPORTING DATA: This sets the procedures and defines the data necessary for monitoring the internal processing of information requests. A state may choose to monitor such data as frequency and subject of each request, location and job title of each user, expended manhours per request, turn-around time, and/or other data. This monitoring is necessary for measuring efficiency and for making management decisions.

Awarding of Points:	Operation and Maintenance	_____	(0-2)
	Personnel	_____	(0-2)
	Support	_____	(0-2)
	Total Points Awarded	_____	(0-6)

Brief Explanation:

Section I (con't.)

ITEM 4: ESTABLISHING AN EVALUATION SYSTEM: A strategy for assessing the effectiveness of the internal processing, the usefulness of the information provided, and the user's satisfaction are parts of a program's self-evaluation. Of equal importance is a system for gathering impact and cost benefit data from target and control populations.

Awarding of Points:

Operation and Maintenance	_____	(0-2)
Personnel	_____	(0-2)
State Contribution	_____	(0-2)
Total Points Awarded	[ ]	(0-6)

Brief Explanation:

Section II: Planning Elements

This section analyzes the proposal by examining items that the state is required to include in the proposal. Assign points according to the following schedule:

Award no points: The item was not included in the proposal.

Award 1 point: The item was included, but does not contribute to the program.

Award 2 points: The item is included, but the planning is insufficiently developed.

Award 3 points: The reader is convinced that the item is sufficiently planned and designed to assure success.

Award 4 points: The reader is convinced of the success of this item and particularly impressed by its planning and contribution to the program.

ITEM 1: The ORGANIZATION CHART OF THE SEA showing the position of the EEP: The reader should note if the directorship of the EEP is sufficiently high in the state organization to facilitate acceptance of EEP proposals to the State level.

Points Awarded: [ ] (0-4)

Brief Explanation:

Section II (con't.)

ITEM 2: The OBJECTIVES AND ACTIVITIES recorded on the Statistical/ Narrative Form (part I): Are the state objectives correlated to NIE objectives, and do their numbers reflect this? Are the listed activities sufficient for accomplishing the objectives? Are the dates, manhours, and costs assigned to each objective and activity realistic? That is, are they sufficient to assure that the activity can be accomplished? (Up to 6 points may be awarded if and only if all of the above criteria are exceptionally well planned.)

Points Awarded: [ ] (0-6)

Brief Explanation:

ITEM 3: The GRAPHIC REPRESENTATION, such as a PERT Chart or Line Graph, showing sequence and interrelationships of activities: The reader should examine the management plan of the proposal thus graphically illustrated to determine: Are the activities planned in a realistic sequence? Are the interdependencies illustrated? Are the manpower needs evenly distributed in the context of the interrelationships? And are the completion dates realistic?

Points Awarded: [ ] (0-4)

Brief Brief Explanation:

ITEM 4: The BUDGET showing total funds for the program year in the context of the proposed activities, and the federal portion of those funds: The reader should examine the plan for hiring staff, and the salary levels of each; these should be sufficient for developing the program but not overinflated. The reader should also examine the costs such as overhead, travel, direct cost, and other listed items.

Points Awarded: [ ] (0-4)

Brief Explanation:

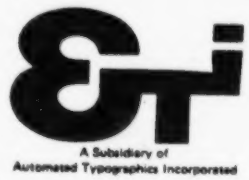
ITEM 5: THE EEP DIRECTOR AND/OR MANAGER: names, titles, and resumes in the context of the assigned duties. The reader should determine: Do the proposed director and/or manager have the necessary experience; administrative, technical, and management skills; and sufficient knowledge of information dissemination to establish and direct the EEP?

Points Awarded: [ ] (0-4)

Brief Explanation:

Section III: Narrative Explanation

The reader should record his or her general reactions, point out highlights or inconsistencies, and make recommendations to the State and NIE. (Attach additional sheets if necessary.)



EDUCATIONAL EXTENSION PROGRAM

A SCHEDULE OF EVENTS

TO BE COMPLETED THROUGH

THE FIRST YEAR OF THE PROGRAM

EVALUATION TECHNOLOGIES INCORPORATED

Suite 130, 1121 Arlington Blvd. • Arlington, Va. 22209 • (703) 525-5818

EDUCATIONAL EXTENSION PROGRAM

A SCHEDULE OF EVENTS
TO BE COMPLETED THROUGH
THE FIRST YEAR OF THE PROGRAM

PREPARED FOR:

UNITED STATES NATIONAL INSTITUTE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
WASHINGTON, D.C.

PREPARED BY:

EVALUATION TECHNOLOGIES, INC.
SUITE 130, 1121 ARLINGTON BLVD.
ARLINGTON, VIRGINIA 22209

DATE PREPARED:

OCTOBER 1972
(REVISED DECEMBER 1972)

CONTRACT NUMBER:

SB3-2-0-8(a)72-C-382
TASK VI

FOREWORD

This document constitutes the deliverable product for Task VI, Contract Number SB3-2-0-8(a)72-C-382 between Evaluation Technologies, Incorporated and the United States National Institute of Education.

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Attachment

Schedule of Activities

I. TITLE

Provision of a Schedule of Events to be Completed through the First Year of the Program and the Linkage Between These Events in Terms of Time and Resources.

II. PURPOSE

This document presents the schedule of events and the required explanatory narrative.

III. ASSUMPTIONS

That the National Institute of Education (NIE) will announce the Education Extension Program (EEP) in mid-FY-73.

IV. SCOPE

This schedule encompasses those tasks to be completed or started in connection with the EEP for (1) the National Institute of Education, (2) the Experimental States already participating in the program, and (3) those additional States selected for experimental grants. The main thrust of the schedule is directed toward identifying those events and tasks to be performed after Program Announcement and through the remainder of the year.

V. NARRATIVE EXPLANATION

A. General

Attached schedule was prepared using month "M" as the month designating when the Program Announcement will be made. The schedule is predicated upon "M" occurring in mid-year. Any slippage in Program Announcement will result in a comparable slippage in dates for the Program participants.

Grant awards made during fiscal year 1973 should be made to run through 30 June 1974, regardless of their length. This would then facilitate establishment of program management and review on a cyclic basis as further described in the Reporting/Data Collection System designed as a part of Task III, subject contract.

B. National Institute of Education

Four tasks are identified on the schedule as on-going tasks that must be carried on during the life of the program. The time and effort devoted to each of them will vary. However manpower resources will be required to perform each of them as their nature dictates. These are:

- Integration of other Federal programs with the EEP
- Training and Technical Assistance
- Monitoring of Federal legislative actions
- Program monitoring

The use of products being prepared by certain current contracts are shown by BR numbers when they become available for use. The evaluation request for proposal should be published for bid at the earliest opportunity. The schedule shows the estimated date for this activity as the middle of M-1.

C. Experimental Grants - Non-experienced States

This time frame between Program Announcement and Grant Award allows for Plan of Work preparation, which is the planning that is associated with the proposal, negotiation and determination of the operation and maintenance criteria. Subsequent to Grant Award these States must make job announcements and start the selection of their staff. Concurrently finalization of facilities selection must be accomplished.

Assuming that only the State Program Director is available to work on these tasks until after the Grant Award is received, additional events cannot be scheduled until staff personnel are hired.

D. Experimental Grants - Experienced States

These States although experienced in the program must also submit Letters of Intent and prepare Plans of Work since it will be necessary to tailor their plans based upon the Program Guidance Document. Selection of these States for Grants will be on a competitive basis exactly as

the Non-Experienced States. Since presumedly they will already have working staffs, their activities following Grant Award will be more immediate and direct toward performing the experimental tasks than the Non-Experienced States who must select personnel.

Grants awarded these States should also extend through 30 June 1974.

E. Related Contract Titles

BR 1-0617 - Developing a Sensing Network for Information Needs in Education

BR 2-1040 - Design for the Operational Planning and Reporting system for the EEI

BR 2-9035 - Design and Training of EEP

EDUCATION

M = Month of Program Announcement

	M-6	M-5	M-4	M-3	M-2
National Institute of Education			DEVELOP TRAINING AND SEMINAR PLANS		
			DEVELOP AGENT/STAFF SELECTION CRITER		
			FINANCIAL (AUDIT-FUNDING-BUDGET) PLANN		
			PROGRAM EFFECT, PROPOSAL, AND ANNUAL PROGRAM REVIEW EVALUATION PLAN		
			REPORTING/DATA COLLECTION PLANNING		
			- MANAGEMENT INFORMAT		
			- OPERATION AND MAINT		
			1-0617		TRAININ
					INTEGRATE
					MONITOR
Exper / Grant / Nonex / State					

EDUCATION EXTENSION PROGRA

M-3	M-2	M-1	M	M+1	M+2

AND SEMINAR PLANS BR 2-9035

SELECTION CRITERIA BR 2-9035

ING-BUDGET) PLANNING

ROGRAM REVIEW EVALUATION PLANNING

RFP

PLANNING

AGEMENT INFORMATION SYSTEM

RATION AND MAINTENANCE PLAN

2-1040

PROGRAM MANAGEMENT

PLAN OF WORK PREPARATION ASSISTANCE

PROPOSAL SEMINAR

REVIS

AS RE

PUBLISH AN

REVIEW SCH

PLAN OF

REVIEW AN

SITE VERIF

TRAINING AND TECHNICAL ASSISTANCE

2-9

PROGRAM MONITORING

INTEGRATE WITH OTHER FEDERAL PROGRAMS

MONITOR FEDERAL LEGISLATIVE ACTIONS

LETTER OF INTENT

PLAN OF WORK PREPARATION

PROGRAM

M+1	M+2	M+3	M+4	M+5
AN OF WORK ARATION ASSISTANCE	REVISIONS AS REQUIRED		BEGIN PREPARATION OF EEP ANNUAL PROGRAM GUIDANCE DOUCMENT FY 74	
ROPOSAL EMINAR				
		PUBLISH ANNUAL REVIEW SCHEDULE		
		PLAN OF WORK REVIEW AND SITE VERIFICATION		
		PANEL REVIEW		
		NEGOTIATION AND GRANT AWARD		
			STAFF/AGENT SELECTION ASSISTANCE	
			PERSONNEL SELECTION SEMINAR	
				TRAINING ASSISTANCE
STANCE		2-9035		
PROGRAMS				
ACTIONS				
		GRANT NEGOTIATION AND AWARD	JOB ANNOUNCEMENTS	
			STAFF SELECTION	
OF WORK PREPARATION			FACILITIES	
REA SELECTION				

REPORTING/DATA COLLECTION PLANNING

- MANAGEMENT INFORMAT
- OPERATION AND MAINT

1-0617

TRAININ

INTEGRATE

MONITOR

States Nonexperienced Grants Experimental

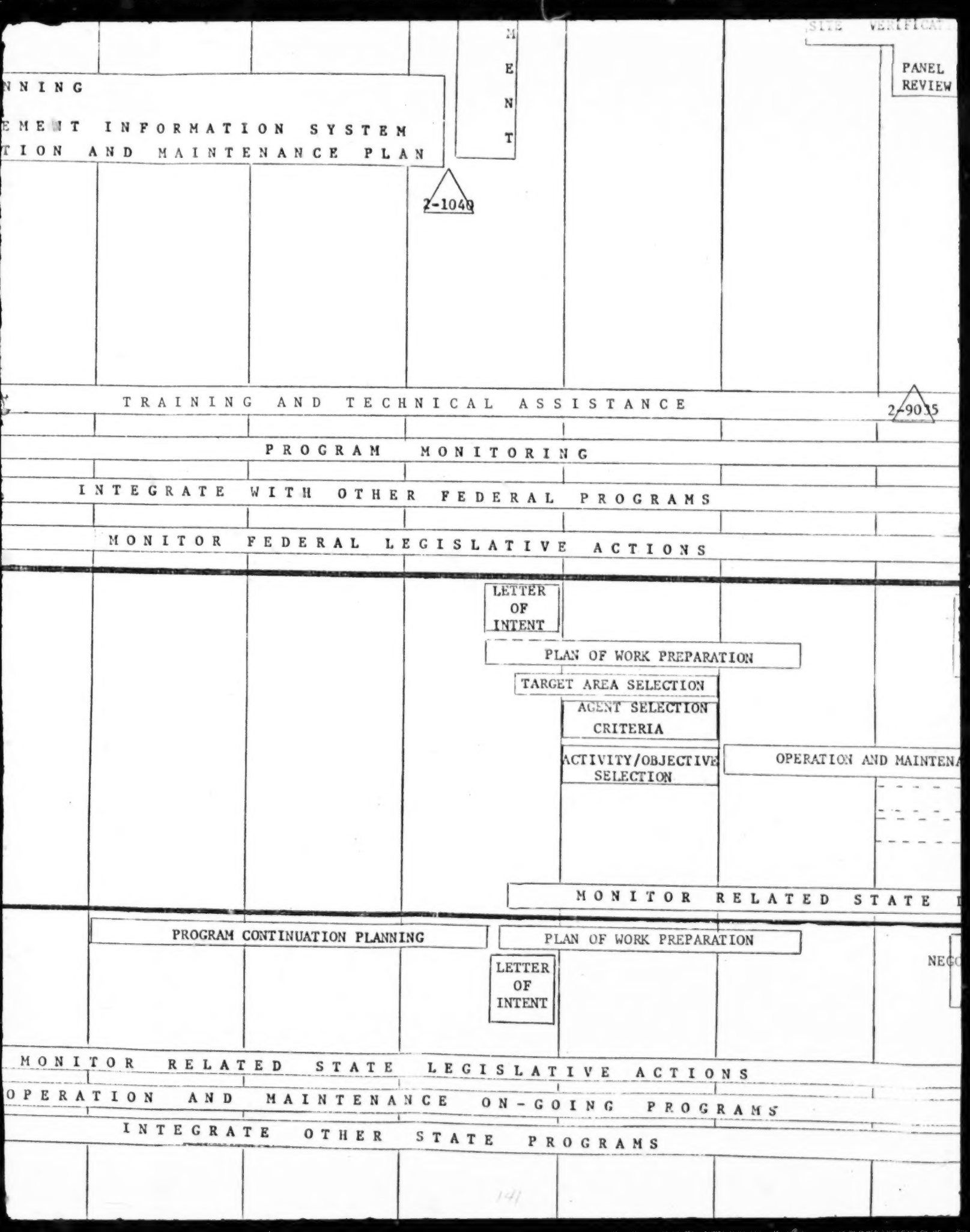
PROGRAM

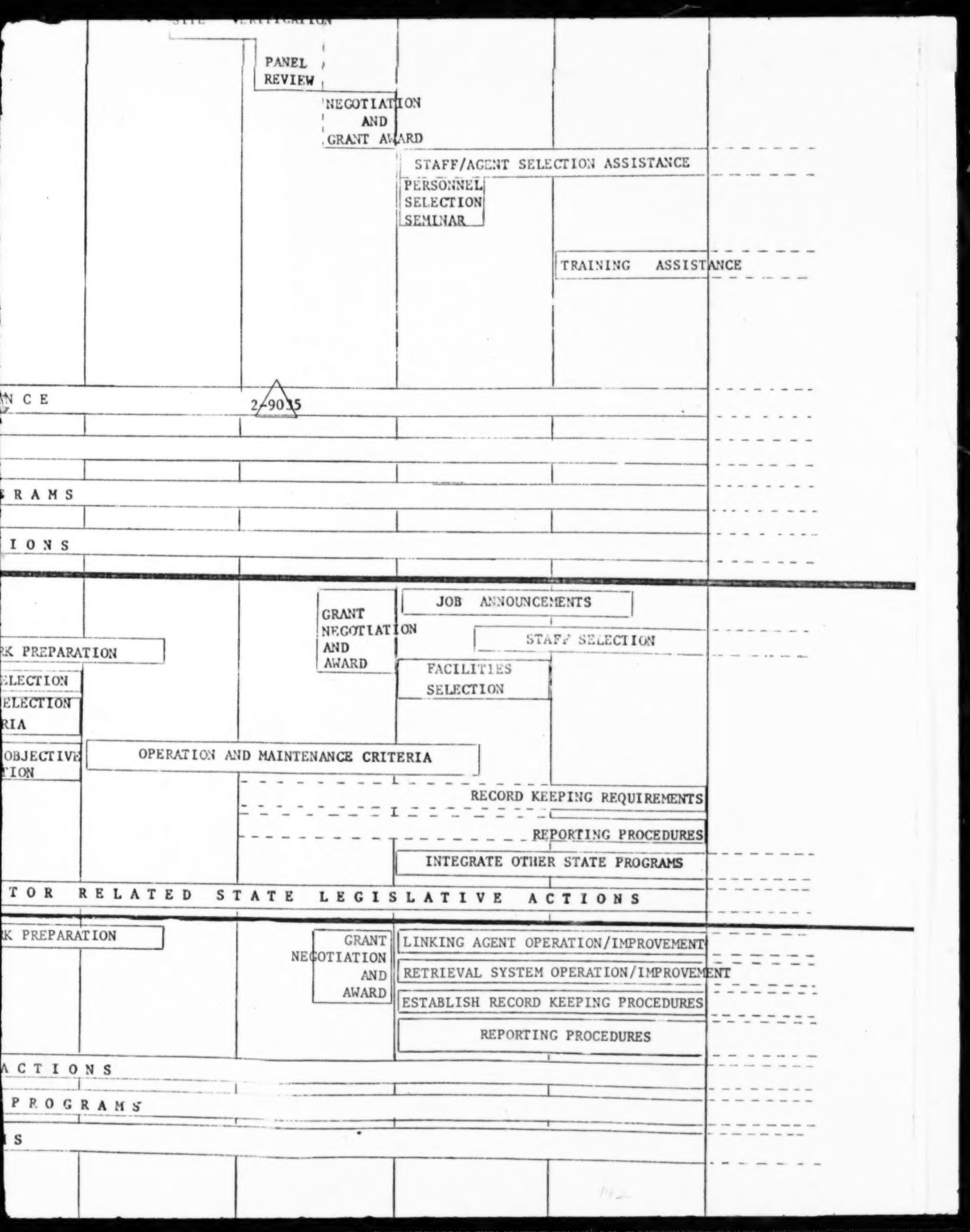
States Experienced Grants Experimental

MONITOR RELA

OPERATION AND

INTEGR


M
E
N
T
SITE VERIFICA
PANEL REVIEW
NNING
EMENT INFORMATION SYSTEM
TION AND MAINTENANCE PLAN
2-1048
TRAINING AND TECHNICAL ASSISTANCE
2-9035
PROGRAM MONITORING
INTEGRATE WITH OTHER FEDERAL PROGRAMS
MONITOR FEDERAL LEGISLATIVE ACTIONS
LETTER OF INTENT
PLAN OF WORK PREPARATION
TARGET AREA SELECTION
AGENT SELECTION CRITERIA
ACTIVITY/OBJECTIVE SELECTION
OPERATION AND MAINTENA
MONITOR RELATED STATE
PROGRAM CONTINUATION PLANNING
PLAN OF WORK PREPARATION
LETTER OF INTENT
NEGO
MONITOR RELATED STATE LEGISLATIVE ACTIONS
OPERATION AND MAINTENANCE ON-GOING PROGRAMS
INTEGRATE OTHER STATE PROGRAMS


PANEL REVIEW
NEGOTIATION AND GRANT AWARD
STAFF/AGENT SELECTION ASSISTANCE
PERSONNEL SELECTION SEMINAR
TRAINING ASSISTANCE
2-9035
GRANT NEGOTIATION AND AWARD
JOB ANNOUNCEMENTS
STAFF SELECTION
FACILITIES SELECTION
OPERATION AND MAINTENANCE CRITERIA
RECORD KEEPING REQUIREMENTS
REPORTING PROCEDURES
INTEGRATE OTHER STATE PROGRAMS
GRANT NEGOTIATION AND AWARD
LINKING AGENT OPERATION/IMPROVEMENT
RETRIEVAL SYSTEM OPERATION/IMPROVEMENT
ESTABLISH RECORD KEEPING PROCEDURES
REPORTING PROCEDURES

ED 073571

EDUCATIONAL EXTENSION PROGRAM

REPORTING PROCEDURES
FOR
PROGRESS REPORTS

EVALUATION TECHNOLOGIES INCORPORATED

Suite 130, 1121 Arlington Blvd. • Arlington, Va. 22209 • (703) 525-5818

EA 005 033

DESCRIPTION OF REPORTING PROCEDURES FOR PROGRESS REPORTS TO INCLUDE FORMS DESIGN AND PREPARATION INSTRUCTIONS

ED 073571

PREPARED FOR:

NATIONAL INSTITUTE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D.C.
PROJECT 2-1040

PREPARED BY:

EVALUATION TECHNOLOGIES, INC.
SUITE 130, 1121 ARLINGTON BOULEVARD
ARLINGTON, VIRGINIA 22209

DATE PREPARED:

JANUARY 1973

CONTRACT NUMBER:

SB3-2-0-8(a)72-C-382
TASK VII

FOREWORD

This document constitutes the deliverable product for Task VII, Contract Number SB3-2-0-8(a)72-C-382 between Evaluation Technologies, Incorporated, and the United States National Institute of Education.

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Chapter I

Introduction

1 - I TITLE

Description of Reporting Procedures for Progress Reports to Include Forms Design and Preparation Instructions

1 - II PURPOSE

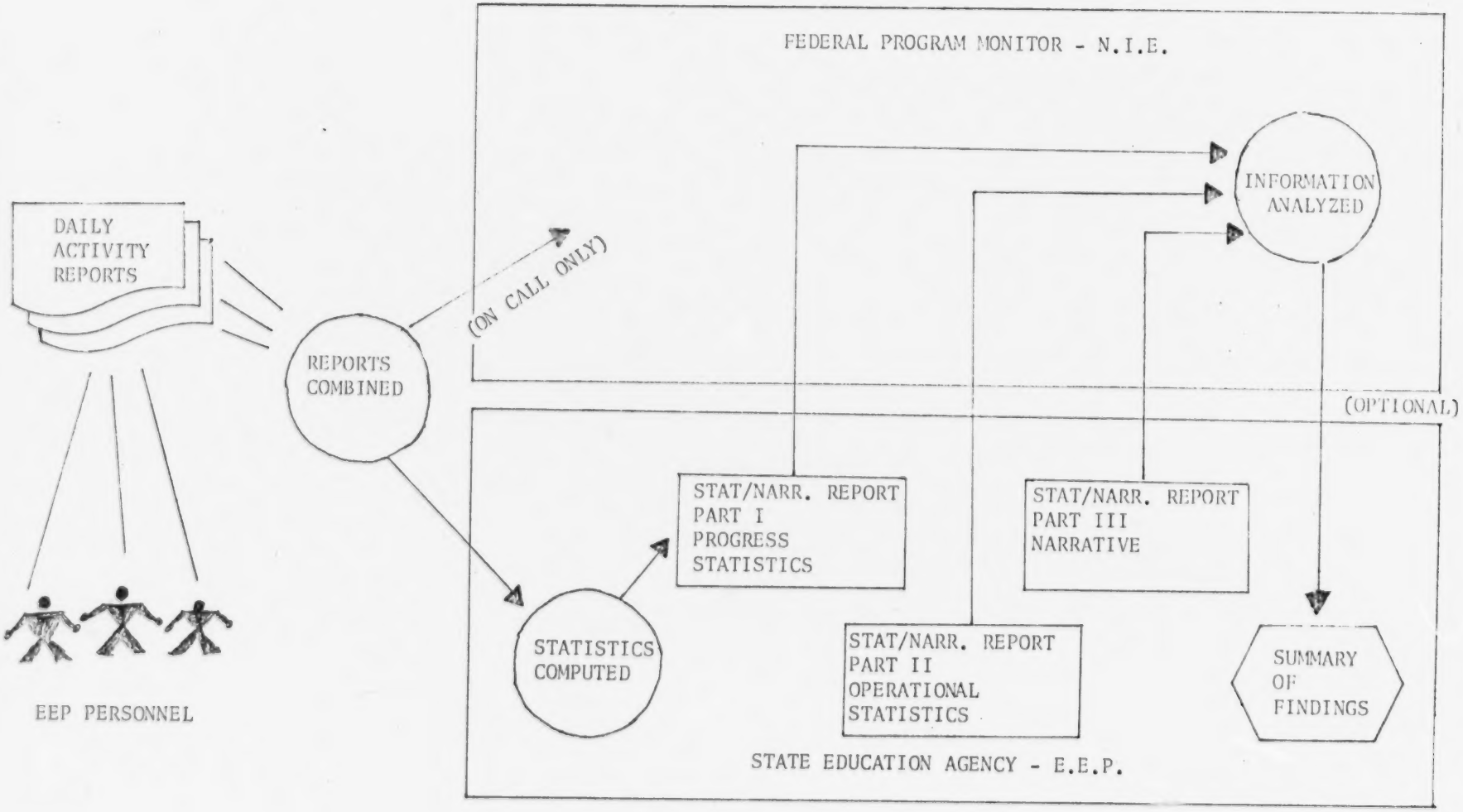
In order to most profit from the experiment of the Education Extension Program, it is necessary to monitor the progress and problems of the individual participating states. Information reported on a regular basis and in a consistent format from all the states gives the most reliable basis for management and policy decisions by NIE and the State Education Agencies. The information provided on the two forms, The Daily Activity Report and The Statistical/Narrative Report, is the major tool used to measure the effectiveness of the EEP in the dissemination of information.

1 - III SCOPE

The parties utilizing the forms and reporting the data will be limited to those SEA staff members that are participating in (being paid by) the EEP. The data will be monitored by that State Education Agency and NIE. Specifically, each employee of the EEP will be required to complete the Daily Activity Report and submit it to the State on a weekly basis. The SEA will utilize the data for its own purposes, and retain the reports on call for the duration of the grant period. NIE may request copies of these reports at their discretion.

In addition, the SEA is responsible for preparing the Statistical/Narrative Report and submitting it to NIE at the end of each quarter. NIE will then analyze the data in terms of the national objectives of the EEP.

Figure 1



FLOW OF REPORT FORMS

Chapter 2

Daily Activity Report

2 - I DESCRIPTION

Completion of the Daily Activity Report (see figure 2) is required of all Education Extension Program personnel whose salaries are paid for in whole or part by federal funds. Each person completing the report writes the major objective he is trying to achieve, his activity in doing so, with what groups of people he worked, and the number of hours he spent. Provided with this information, management - both state and federal - can study the progress, expenditures, and efficiency and impact of the EEP. This also gives the EEP director a means for knowing which groups of educators are receiving the most attention and to make sure no group is being inadvertently excluded. The Daily Activity Report is filled in on a weekly basis and thus may also serve as a time sheet for making out the payroll.

SIGNATURE: _____

1. NAME (typed): _____
2. JOB TITLE: _____
3. SOCIAL SECURITY NUMBER: _____
4. STATE: _____

EDUCATIONAL EXTENSION PROGRAM

DAILY ACTIVITY REPORT

5. REPORT PERIOD:

_____ to _____

6. DATE: _____

7 DATE	8 STATE ACTIVITY LINE NUMBER	9 TITLE OF OBJECTIVE	10 ACTIVITY PERFORMED	11 AUDIENCE TYPE/QTY	AUDIENCE TYPE/QTY	AUDIENCE TYPE/QTY	12 TIME HOURS	REMARKS

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter period of time report covers (i.e. 10/2/73 - 10/8/73)
BLOCK 6	Enter date signed
BLOCK 7	Self explanatory
BLOCK 8	Enter State Objective Line Number from State Plan of Work
BLOCK 9	Enter title of State Objective (i.e. Expansion Planned)
BLOCK 10	Enter activity engaged in (i.e. training, seminar, etc.)
BLOCK 11	Select type audience from Chart A below and enter designators under Type and indicate number of people involved
BLOCK 12	Enter hours worked
BLOCK 12	Self explanatory

CHART A - AUDIENCE TYPES

LEVEL	TYPE
A STATE	a Student
B FEDERAL	b Teacher
C LOCAL OR INTERMEDIATE	c Administrator
D HIGHER EDUCATION	d Learning Resource Service
E HIGH SCHOOL	e Pupil Personnel/Counselor
F MIDDLE SCHOOL	f Researcher
G ELEMENTARY	g Public
H OTHER	h Policy Board Member
	i Information Agent
	j Other

EXAMPLE: Elementary School Teacher = Gb

NOTE: Use as many lines per day as required.

2 - II PREPARATION INSTRUCTIONS

SIGNATURE: The document is to be signed here by the person completing the form.

Block 1: NAME. The name of the person completing the form should be typed here; it should be the same as the above signature.

Block 2: JOB TITLE. The official title of the person completing the form is placed here.

Block 3: SOCIAL SECURITY NUMBER. Record the social security number of the person completing the form. (This will be used for automated data processing).

Block 4: STATE. List the State (for example, Vermont) in which the EEP is located.

Block 5: REPORT PERIOD. Record the inclusive dates of the report. That is, if the period covered is from Monday, January 1 to Friday, March 30, then "1 Jan 73 to 30 March 73" should be written.

Block 6: DATE. The actual date the completed document is signed is recorded here.

Block 7: DATE. The information for this form is reported on a daily basis. Thus, the day in which the activities took place is recorded here. Several lines of the form may be used for a single day. Record the date only on the first line used.

Block 8: STATE ACTIVITY LINE NUMBER. In each proposal/contract between the SEA and NIE, the objectives and activities for the EEP are stated and identified with a number. This activity number is recorded here. It must correspond to the information in Blocks 9 and 10.

Block 9: TITLE OF OBJECTIVE. Write here the objective of activity being recorded in Block 10. This objective must be one of those agreed upon by the SEA and NIE in the EEP grant, and it must be stated in identical language, although the words may be abbreviated.

Block 10: ACTIVITY PERFORMED. The EEP staff member's activity for that day (see Block 7) is recorded here. The language used should most closely describe the actual activity; however, it must be related to one of the activities agreed upon in the proposal/contract, and it must correspond to the number recorded in Block 8.

Block 11: AUDIENCE by TYPE/QUANTITY. The type and number (quantity) of persons the EEP staff member worked with during the activity in Block 10 should be recorded here using as many of the TYPE/QTY boxes as are necessary to identify all of the various persons or groups. Identification of these persons should be notated using this coding system:

Block 11: AUDIENCE by TYPE/QUANTITY. (continued)

AUDIENCE TYPES	
LEVEL	TYPE
A STATE	a Student
B FEDERAL	b Teacher
C LOCAL OR INTERMEDIATE	c Administrator
D HIGHER EDUCATION	d Learning Resource Service
E HIGH SCHOOL	e Pupil Personnel/Counselor
F MIDDLE SCHOOL	f Researcher
G ELEMENTARY	g Public
H OTHER (explain)	h Policy Board Member
	i Information Agent
	j Other (explain)

Each person or group should be identified by LEVEL and by TYPE. That is, if the EEP staff member talked with a group of elementary school teachers, he would record "Gb" in one of the TYPE/QTY blocks. If he corresponded with high school principals, he would record "Ec." He must also record in each block the number of persons involved. That is, if he worked with 20 elementary school teachers and 5 high school principals, he would complete the form in this fashion:

TYPE/QTY	TYPE/QTY	TYPE/QTY
Gb / 20	Ec / 5	

Block 12: TIME HOURS. The number of hours spent on the activity recorded in Block 10 should be stated in decimal form. That is, if the EEP staff member

Block 12: TIME HOURS (continued)

worked for 2 and 1/2 hours on the activity that day, then he would write "2.5" in the block.

Block 13: REMARKS. Recorded here are any additional explanatory notes. For example, to further explain the meeting with the teachers' group, the EEP staff member may want to record "Information Dissemination Seminar" here.

2 - III APPLICATION FOR APPROVAL

Forms used by the federal government must be approved by the Office of Management and Budget (OMB). OMB requires that a completed Form 83: Clearance Request and Notice of Action (see figure 3) with an accompanying Supporting Statement, a copy of the form, and its preparation instructions be included in any request for forms approval. A copy of the Program Announcement must also be submitted.

All of this information is included in this document on the following pages:

Form 83: Clearance Request and Notice of Action - page 11

Supporting Statement - pages 12-14

Copy of the Daily Activity Report Form - page 5

Preparation Instructions - pages 6-9

This required information must be packaged in the following manner, as specified by OMB:

(1) 3 copies of Form 83

(2) 3 sets of materials with each set containing the following items in this order:

(a) Supporting Statement

(b) Copy of the Form

(c) Preparation Instructions.

STANDARD FORM NO. 83
OFFICE OF MANAGEMENT AND BUDGET
OMB

CLEARANCE REQUEST AND NOTICE OF ACTION

(Under Federal Reports Act and Bureau of the Budget Circular No. A-40, as amended)

FOR O.M.B. USE

IMPORTANT – Submit the required number of copies of SF-83, together with the material for which approval is requested to:

CLEARANCE OFFICER
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

READ INSTRUCTIONS BEFORE COMPLETING FORM

PART A – REQUEST BY FEDERAL AGENCY FOR CLEARANCE

*Items marked with asterisk may be omitted for preliminary plans or recordkeeping requirements

1. SEND "NOTICE OF ACTION" TO: Name and mailing address

National Institute of Education
Dissemination Task Force, Code 401
400 Maryland Avenue, S.W.
Washington, D.C. 20202

2. Bureau and division or office originating request

Dissemination Task Force
Code 401

3. Name(s), title(s), and telephone numbers of person(s) who can best answer questions regarding request.

Robert Chesley
Research Associate
755-7484

FORM OR DOCUMENT IDENTIFICATION

4. Title of form or document submitted

Education Extension Program
Daily Activity Report

*5. Agency Form Number(s)

N/A

6. Type of form or document

1 [ ] Application
2 [ ] Program evaluation
3 [X] Other management report
4 [ ] Statistical survey or report
5 [ ] Preliminary plan or contract
6 [ ] Recordkeeping requirement
7 [ ] Other – Specify

7. Current (or former) O.M.B. clearance – Number

N/A

Expiration date

8. Requested expiration date

31 December 1977

9. Type of request

1 [X] New
2 [ ] Revision
3 [ ] Extension (No change)
4 [ ] Reinstatement

*10. Frequency of use

1 [ ] Single time
2 [ ] On occasion
3 [X] Weekly
4 [ ] Monthly
5 [ ] Quarterly
6 [ ] Semi-annually
7 [ ] Annually
8 [ ] Other (See instructions)

11. Related forms or documents (Give O.M.B. number. Enclose in parentheses any to be replaced.)

N/A

12. Catalog of Federal Domestic Assistance program number (if applicable)

N/A

COLLECTION AND RESPONDENTS

*13a. Collection method (Check as many as apply)

1 [X] Mail
2 [ ] Personal interview
3 [ ] Other – Describe

*13b. Collected by –

4 [X] Agency
5 [ ] Contractor
6 [ ] Other – Describe

14a. Type of respondents involved (Check predominant one)

1 [ ] Individuals or households
2 [ ] Business firms (non-farm)
3 [ ] Farms
4 [X] Government agencies
5 [ ] Other – Describe

Selected Personnel employed by State Educ. Agency

14b. Brief description of respondents (i.e., "households in 50 largest SMSA's; "retail grocery stores")

*15. Summary of estimated respondent burden

	Number
a. Estimated number of respondents	600
b. If sample, approximate number in universe	
c. Reports filed annually by each respondent (item 10)	52
d. Total annual responses (a X c)	31200
e. Estimated average number of man-hours required per response	3/4
f. Estimated TOTAL MAN-HOURS of respondent burden (d X e)	23,400

AUTHORITY AND CONFIDENTIALITY

*16a. Is report form –

1 [ ] Voluntary?
2 [X] Required to obtain benefit?
3 [ ] Mandatory? Cite statute

*16b. Does your agency pledge confidentiality?

1 [ ] Yes
2 [X] No

CONSULTATIONS OUTSIDE AGENCY

17. In developing the report form or other documents, were consultations held with individuals or organizations outside your agency?

1 [X] Yes – If "yes," identify persons and describe outcome in SUPPORTING STATEMENT. (See instructions)
2 [ ] No

CERTIFICATION BY AUTHORIZED OFFICIALS SUBMITTING REQUEST – We certify that the form or other document submitted for approval is necessary for the proper performance of this agency's functions, that the information requested is not available from any other source, to the best of our knowledge, and that the request is consistent with applicable O.M.B. and agency policy directives. Signature and title of:

Approving official for agency	Date	Agency clearance officer or other agency official	Date

Figure 3

STANDARD FORM NO. 83 — OFFICE OF MANAGEMENT AND BUDGET

CLEARANCE REQUEST AND NOTICE OF ACTION

(Under Federal Reports Act and B.O.B. Circular No. A-40, as amended)

PART B – NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

In accordance with provisions of the Federal Reports Act and Bureau of the Budget Circular A-40, as amended, **the action indicated below has been taken with respect to your request for clearance of the report form or other document indicated in Part A on the reverse side.**

1. ☐ **APPROVED.** The information appearing in the box below must appear in the upper right-hand corner of the report form:

O.M.B. No. _____

Approval Expires _____

2. ☐ **APPROVED,** through _____.
The information appearing in the box below must appear in the upper right-hand corner of the report form:

Form Approved

O.M.B. No. _____

3. ☐ **APPROVED,** under O.M.B. No. _____.
The statement in the box below must appear prominently somewhere in the regulation, manual or other document:

The reporting and/or recordkeeping requirements contained herein have been approved by the Office of Management and Budget in accordance with the Federal Reports Act of 1942.

4. ☐ **O.M.B. No.** _____ **PC**

Approval expires _____

This number is evidence of preliminary approval only. Specific data collection plans and report forms are subject to further review under Budget Circular A-40 before final approval action can be considered.

NOTE: Please refer to Office of Management and Budget Approval Number in all future correspondence regarding this clearance.

5. ☐ **REVIEW SUSPENDED** _____

6. ☐ **DISAPPROVED,** or other FINAL action, for the following reasons(s): _____

7. **Remarks:**

8. ACTION APPROVED BY	Name (Signature)	Title	Date

IMPORTANT – If your request for clearance has been APPROVED (i.e. boxes 1, 2, or 3 are checked), the following should be sent to O.M.B. on a post-clearance basis, as soon as available:

Two copies of the final PRINTED (or otherwise reproduced) report form, or reporting or recordkeeping requirement, transmittal letter, instructions, and any other document being sent to each respondent.

FOR O.M.B. USE	1.	2.	3.	4.	5.	6.	7.	8.	9.	10.
	11.	12.	13.	14.	15.	16.	17.	18.	19.	20.

U. S. GOVERNMENT PRINTING OFFICE : 1972 O - 461-558

SUPPORTING STATEMENT

DOCUMENT TITLE: Educational Extension Program
Daily Activity Report

SUBMITTED BY: National Institute of Education
Dissemination Task Force, Code 401
400 Maryland Avenue, S.W.
Washington, D.C. 20202

A. SUPPORTING STATEMENT FOR NEW FORM OR REPORTING REQUIREMENT.

1. Justification

(1) The National Institute of Education is conducting experiments in twenty to thirty states on the dissemination of educational information with the goal of effecting change for the better in education. Participating states are to be initially selected for these experiments on a competitive basis. The winner will be awarded Federal grants for the work. The experiments are expected to last through five years.

The Daily Activity Report will serve to direct the attention of personnel working on the Federal grant towards achievement of the Federal goals and objectives. It will also provide the basis for recording the type and quantity of audience the program reaches, which in turn will allow management to determine if the program is serving those intended.

(2) The Daily Activity Report will be used by the State Program Director to (1) provide guidance to the program, (2) to capture the amount of time and funds expended on each Federal objective and (3) to provide statistics for further analysis and evaluation of the program.

The Daily Activity Report will be completed weekly and provided the State Program Director. The Reports will be retained on call for the Federal Program Monitor for the duration of the grant.

(3) Similiar data is not available from any other source.

2. Description of Survey Plan

(1) Each person paid out of Federal grant money (those employed by the Educational Extension Program) will complete the Daily Activity Report. Thirty states may be participating in the program and it is estimated that each will average twenty employees, which totals six hundred respondents.

(2) N/A

(3) N/A

(4) N/A

3. Tabulation and Publication Plans

N/A

4. Time Schedule for Data Collection and Publications

N/A

5. Consultation Outside the Agency

(1) The proposed report format and preparation instructions were prepared by: Evaluation Technologies, Incorporated; Suite 130, 1121 Arlington Blvd.; Arlington, Virginia 22209, under contract with the National Institute of Education.

Other persons and agencies they represent that were consulted are listed below:

Dr. William E. Ellis
South Carolina Department of Education
1429 Senate Street, Room 1203
Columbia, South Carolina 29201

Dr. George Katagiri
Oregon Board of Education
942 Lancaster Drive, N.E.
Salem, Oregon 97301

Dr. Kenneth P. Lindsay
Utah State Board of Education
1400 University Club Building
136 East South Temple
Salt Lake City, Utah 84111

Award of grants to participating states will be contingent upon their agreement to prepare and submit reports using proposed format.

(2) Availability and reportability of data was ninety percent obtained from respondent and potential respondent groups.

(3) See 5.(1) above.

6. Estimation of Respondent Reporting Burden

(1) Estimates are based upon (1) experience of the NIE staff with similiar programs and (2) through consultation with the firm and

individuals identified in A.5. above. A detail breakout of time estimates is shown below:

Forms preparation, each respondent	1/4 hour/week
Administrative time (Mailing, Collecting, Sorting)	1/4 hour/week
Management Review/Statistic Compilation	1/4 hour/week
TOTAL	3/4 hour/week

(2) See 6.(1) above

(3) N/A

7. Sensitive Questions

N/A

8. Estimate of Cost to Federal Government

N/A -- Other Management Report

B. UPDATING SUPPLEMENTAL SUPPORTING STATEMENT FOR EXTENSION OR REVISION OF EXISTING FORM OR OTHER DOCUMENT.

N/A

C. OTHER DOCUMENTS TO BE SUBMITTED.

N/A

Chapter 3

Statistical/Narrative Report

3 - 1 DESCRIPTION

The Statistical/Narrative Report (see figures 3.1 - 3.3) is the major source of information on the objectives, operations, and success of the EEP. The data gathered with this report provides the basis for management decisions to be made by the SEA and NIE concerning the EEP. The information for the report must be gathered by the SEA and reported to NIE each quarter of the year. The report consists of three sections:

PART I - PROGRESS STATISTICS. This section monitors the funds and manhours expended on each EEP objective and activity.

PART II - OPERATIONAL STATISTICS. Provided here is information on the type and effectiveness of the EEP and the recipients of the service.

PART III - NARRATIVE. In this section, the SEA explains any modifications of Part I, unusual statistics from Part II, and elaborates on the successes, problems, and solutions of the EEP. Case Studies are also reported in this part of the report.

SIGNATURE: _____

AME (typed): _____

OB TITLE : _____

TATE : _____

EEP STATISTICAL/NARRATIVE REPORT

PART I - PROGRESS STATISTICS

4. REPORT PERIOD:

_____ to _____

DATE: _____

5 FEDERAL/ STATE OBJECTIVES	6 PLANNED START DATE	7 PLANNED END DATE	8 REVISED END DATE	9 ACTIVITIES	MANHOURS				COST			
					10 GE	11 XP	12 YTD	13 ETC	14 GE	15 XP	16 YTD	17 ETC

PREPARATION INSTRUCTIONS

BLOCKS 1-4	Self explanatory
BLOCK 5	Enter number and title of State objective
BLOCK 6	Enter date activity is scheduled to start
BLOCK 7	Enter date activity is scheduled to be completed
BLOCK 8	Enter revised end date of activity if different from Block 7 (mark with an asterisk and explain in Part III).
BLOCK 9	Enter number and title of State activities plus overhead, travel and other direct costs (ODC)
BLOCK 10	Enter Grant Estimate (GE) of manhours for each activity, overhead, travel and ODC's
BLOCK 11	Enter manhours expended (XP) during the report period for activities listed in Block 9
BLOCK 12	Enter YTD (Year to Date) manhour totals expended for each activity listed in Block 9
BLOCK 13	Enter estimate to complete (ETC) in manhours for each activity (Block 10 minus Block 12 unless revised by Program Director)
BLOCKS 14-17	Same as 10-13 except in terms of dollars.

PART II - OPERATIONAL STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4 Self explanatory

BLOCK 5 Enter audience type selected from Chart A below under column labeled "Type." Enter number of this audience for which searches were conducted during the report period under block so titled. Enter the total of this audience type served for the year to date under the block labeled "YTD." Repeat as often as required. Attach additional sheets as needed.

BLOCK 6 Enter total number of inquiries completed per level for report period and YTD

BLOCK 7 Enter average working hours per search (nearest 1/4 hour) - report period and YTD (all levels)

BLOCK 8 Enter average turn around time in working hours (received until mailed) for report period and YTD (all levels)

BLOCK 9 Enter number of initial contacts made - report period and YTD

BLOCK 10 Enter number of follow-up contacts made - report period and YTD

BLOCK 11 Enter number of document sets delivered - report period and YTD

BLOCK 12 Enter number of document sets that were reported used by recipient - report period and YTD

BLOCK 13 Enter number of document sets reported irrelevent by recipient - report period and YTD

BLOCK 14 Enter number of Educational/Administrative programs changed because of EEP - report period and YTD

BLOCK 15 Enter number of new programs, instituted by clients due to products furnished - report period and YTD

BLOCK 16 Enter number of students affected by changes and new programs - report period and YTD

CHART A

AUDIENCE TYPE

LEVEL	TYPE
A State	a Student
B Federal	b Teacher
C Local or Intermediate	c Administrator
D Higher Education	d Learning Resource
E High School	e Pupil Personnel/ Counselor
F Middle School	f Researcher
G Elementary School	g Public
H Other	h Policy Board Member
	i Information Agent
	j Other

EXAMPLE; Gb = Elementary Teacher

CHART B

SEARCH LEVELS

A. Orders for specific documents (e.g., microfiche, PREP reports, bibliographies, interpreted summaries, etc.)

B. Requests that can be answered by references or by one or more specific documents, such as in A. This includes copies of or use of logic for previously conducted searches, other off-the-shelf items, identification of consultants, and referrals to other sources or individuals.

C. Standard Searches that are answered by resumes and/or fiche from an individualized search of ERIC sources. It is assumed that resumes are screened for relevance. There may also be some additional files searched such as files of local practices, ALERT, etc.

D. Augmented Searches that involve extensive searching and screening of files in addition to ERIC, NCEC publications, and previously prepared materials. Such searches will frequently contain a majority of non ERIC materials and references, and involve considerable expenditure of staff time.

SIGNATURE: _____

1. NAME (typed): _____
2. JOB TITLE: _____
3. STATE: _____

EEP STATISTICAL/NARRATIVE REPORT

PART II - OPERATIONAL STATISTICS

4. REPORT PERIOD:

_____ to _____

DATE: _____

Section A - INFORMATION RETRIEVAL CENTER

5. AUDIENCE Type	Quantity Report Period	Quantity YTD

SEARCHES

	6 Number Completed	7 Average Hours Per Search	8 Average Turn-around Time
LEVEL A Report Period			
LEVEL A YTD			
LEVEL B Report Period			
LEVEL B YTD			
LEVEL C Report Period			
LEVEL C YTD			
LEVEL D Report Period			
LEVEL D YTD			

Section B - LINKING OPERATIONS

	9 Number Initial Contacts	10 Number Follow-up Contacts	11 Number Document Sets Delivered	12 Number Document Sets Reported Used	13 Number Document Sets Reported Irrelevant
Report Period					
YTD					

Section C - SEA TOTALS

	14 Number of Programs Changed	15 Number of New Programs Instituted	16 Number of Students Affected
Report Period			
YTD			

SIGNATURE: _____

1. NAME (typed): _____
2. JOB TITLE: _____
3. STATE: _____

EEP STATISTICAL/NARRATIVE REPORT

PART III - NARRATIVE

4. REPORT PERIOD:

_____ to _____

DATE: _____

STATISTICAL/NARRATIVE REPORT
PART III - NARRATIVE

Instructions

Part I - Progress Statistics

A. Cost Comments
Provide explanatory notes on progress statistics and funds expenditure. Include changes in 1) dates, 2) actual or projected manhours or costs, 3) activities.

B. General Comments
Provide explanatory notes on program progress, including: 1) problem areas and solutions, 2) management remarks.

C. Major Activities
Provide description of major efforts in accomplishing program goals.

Part II - Operation Statistics

A. Information Retrieval Center
Provide explanatory notes on operation statistics of retrieval center: turn around time, technical problems, changes in search request volume and causes, search rate per employee, etc. Include comments on operational achievements.

B. Linking Operations
Comment on any phase of the Linking Operation: relationship between type of program and such items as geography and demographic peculiarities in terms of response volume, etc.

C. Changes Effected
Describe changes resulting from the EEP, its effect and how it was directly attributed to EEP. Include appropriate case studies.

Part III - Special Topics

A. Comment on topics of special interest to Project Director.

B. Comment on special Federal objectives announced for current fiscal year.

C. Other comments not covered in other sections.

3 - II PREPARATION INSTRUCTIONS

Part I - Progress Statistics (figure 4.1)

The initial copy of the Progress Statistics form is contained in the proposal/contract agreed upon by the SEA and NIE. On that copy of this form are stated the objectives and activities for the EEP and the grant estimates of the cost for each activity. It is on this copy, which includes the objectives, activities and grant estimates, that the SEA reports its quarterly and year-to-date expenditures.

SIGNATURE: The document is to be signed here by the person completing the form.

Block 1: NAME. The name of the person completing the form should be typed here; it should be the same as the above signature.

Block 2: JOB TITLE. The official title of the person completing the form is placed here.

Block 3: STATE. The State (for example, Vermont) in which the EEP is located.

Block 4: REPORT PERIOD. Record the inclusive dates of the report. That is, if the period covered is from

Monday, January 1 to Friday, March 30, then "1 Jan 73 to 30 March 73" should be written.

DATE. The actual date the completed document is signed is recorded here.

Block 5: FEDERAL/STATE OBJECTIVES. The agreed upon federal/state objective is to be written here, and must be accompanied by assigned number. For example, a typical entry might be, "1.A Establish and Expand the EEP." Information related to one Federal/State objective may use many lines of space in columns 6 through 17. Record this objective only at the beginning of the section or at the top of any new page.

Block 6: PLANNED START DATE. This information is recorded for each activity in the proposal/contract and should be recorded identically here. If, however, change in the date becomes necessary, place an asterisk by the date, and explain the change in Part III, the narrative section of this report.

Block 7: PLANNED END DATE. This information is recorded on the proposal/contract and is to be recorded identically here, with one entry for each activity in Block 9.

Block 8: REVISED END DATE. Record here any revisions of the date in Block 7. If it is the 1st quarter that this revision is being reported to NIE, notate it with an asterisk, and explain the change in Part III of this report.

Block 9: ACTIVITIES. The activities agreed upon by NIE and the SEA in the proposal/contract should be written here immediately following the appropriate objective in Block 5. The activity must also be identified by its state line number. (This corresponds to Block 8 of the Daily Activity Report which is submitted by individual employees). This number is also found in the proposal/contract. A typical entry would be "1.A.2 Related State Legislative Action Monitored." Any other costs relating to the objective these activities refer to should be placed in this Block 9. These items would include "overhead cost, travel, and other direct costs."

Block 10: MANHOURS - GRANT ESTIMATE. This block must be identical to the information reported in the proposal/contract. It is not to be changed in the quarterly reports.

Block 11: MANHOURS - EXPENDED. Record here the number of manhours that have been expended this quarter on the activity in Block 9. (This information may be acquired by compiling the Daily Activity Reports submitted by the EEP staff).

Block 12: MANHOURS - YEAR-TO-DATE. Record here the total number of manhours that have been expended on the activity in Block 9 since the beginning of the contract. The total may be easily acquired by taking last quarter's YTD total and adding this quarter's Expended Manhours.

Block 13: MANHOURS - ESTIMATE TO COMPLETE. The estimate number of manhours required to complete the activity in Block 9 should be recorded here. If activity is progressing as expected, this estimate will be the number of manhours in Block 10 minus the number in Block 12. If this is not the case, then the estimated hours required for completion should be recorded, notated with as asterisk, and explained in Part III of the report.

Block 14: COST - GRANT ESTIMATE. This block must be identical to the information reported in the proposal/contract. It is not to be changed in the quarterly reports.

The grant estimate of cost for overhead, travel and other direct costs must also be written for these items.

Block 15: COST - EXPENDED. Record here the cost for labor only that has been expended on the activity in Block 9. This information is acquired by compiling the Daily Activity Reports submitted by EEP staff. The costs expended should also be recorded for overhead, travel and other direct costs.

Block 16: COST - YEAR-TO-DATE. Record here the dollars that have been spent for labor only on each activity since the beginning of the contract. The total may easily be acquired by taking last quarter's YTD total and adding the amount of this quarter's cost-expended. The YTD costs must also be recorded for overhead, travel, and other direct costs. If the dollars expended exceeds the amount in Block 14, this should be notated with an asterisk and explained in Part III, and considered in light of a budget revision.

Block 17: COST - ESTIMATE-TO-COMPLETE. The estimated cost for labor only that will be required to complete

the activity in Block 9 should be recorded here. If activity is progressing as expected, this estimate will be the cost listed in Block 14 minus the cost listed in Block 16. If this is not the case, then the estimated cost should be recorded, noted with an asterisk and explained in Part III of the report. The estimate-to-complete costs must be recorded for overhead, travel and other direct costs. Notate and explain any variance with the information in Block 14.

SUMMARY PER OBJECTIVE: At the end of each section (which includes activities, overhead, travel, and ODC) relating to one objective, a line is drawn horizontally across the form, and a summary of all the totals is recorded for that objective. Specifically: PLANNED START DATE and PLANNED END DATE for the objectives are recorded. These dates are found by using the START DATE of the first activity and the END DATE of the final activity needed to achieve the objective. MANHOURS and COST FIGURES are simply totalled for each block or column. They are to include all costs -- for labor, overhead, travel, and ODC -- for that objective.

Part II - Operational Statistics (figure 4.2)

SIGNATURE: The document is to be signed here by the person completing the form.

Block 1: NAME. The name of the person completing the form should be typed here; it should be the same as the above signature.

Block 2: JOB TITLE. The official title of the person completing the form is placed here.

Block 3: STATE. The State (for example, Vermont) in which the EEP is located.

Block 4: REPORT PERIOD. Record the inclusive dates of the report. That is, if the period covered is from Monday, January 1 to Friday, March 30, then "1 Jan 73 to 30 March 73" should be written.

DATE. The actual date the completed document is signed is recorded here.

SECTION A - INFORMATION RETRIEVAL CENTER

The information for this section is to be collected at the Retrieval Center. All the Information refers to the number of searches conducted.

Block 5: AUDIENCE - TYPE. The individuals or groups for whom searches were conducted are identified here. The identifying code is made by stating both (1) the person's professional level and (2) his type, using this chart:

AUDIENCE TYPE

LEVEL	TYPE
A State	a Student
B Federal	b Teacher
C Local or Intermediate	c Administrator
D Higher Education	d Learning Resource
E High School	e Pupil Personnel/ Counselor
F Middle School	f Researcher
G Elementary School	g Public
H Other (explain)	h Policy Board Member
	i Information Agent
	j Other (explain)

For example, a State School Board member would be identifed as "Ah."

AUDIENCE - QUANTITY. The number of searches conducted for the person or persons identified under TYPE are recorded here. The total number of searches this quarter are written under REPORT PERIOD. The total number conducted since the beginning of the contract are recorded under YTD (Year-to-Date).

Blocks 6-8: SEARCHES. All information for Blocks 6 through 8 must be recorded according to the LEVEL of search. There are 4 such levels. These are described below:

SEARCH LEVELS

A. Orders for specific documents (e.g. microfiche, PREP reports, bibliographies, interpreted summaries, etc.)

B. Requests that can be answered by references or by one or more specific documents, such as in A. This includes copies of or use of logic for previously conducted searches, other off-the-shelf items, identification of consultants, and referrals to other sources or individuals.

C. Standard Searches that are answered by resumes and/or fiche from an individualized search of ERIC sources. It is assumed that resumes are screened for relevance. There may also be some additional files searched such as files of local practices, ALERT, etc.

D. Augmented Searches that involve extensive searching and screening of files in addition to ERIC, NCEC publications, and previously prepared materials. Such searches will frequently contain a majority of non-ERIC materials and references, and involve considerable expenditure of staff time.

In addition, the searches conducted at each level must be recorded for the current quarter only under REPORT PERIOD, and the total since the beginning of the contract must be recorded under YTD (Year-to-Date).

Block 6: SEARCHES - NUMBER COMPLETED. Record the number of searches completed for each level by REPORT PERIOD and YTD.

Block : SEARCHES - AVERAGE HOURS PER SEARCH. Retrieval Center employees must monitor the number of manhours expended on each search. These totals are combined here and reported for each level by REPORT PERIOD and YTD.

Block 8: SEARCHES - AVERAGE TURN-AROUND TIME. The Retrieval Center must monitor the date and hour a request is received and the date and hour the requested Document Set is mailed to the client. These inclusive hours are recorded here. For example, assuming a 40 hour working week, if a request is received at 9:00 a.m. on Monday and the Document Set is mailed out at 3:00 p.m. on Thursday, the turn-around time is 30 hours. The average turn-around time for each level is to be recorded by REPORT PERIOD and YTD.

Section B - LINKING OPERATIONS

Each state must design its own methods for receiving feedback from clients on the usefulness of the document sets provided to them. For example, the feedback may come from an evaluation form sent with the document sets, or it may come from Information Agents working with the clients. All of the information in this section must be reported for this quarter only under

REPORT PERIOD, and the total since the beginning of the contract reported under YTD (Year-to-Date).

Block 9: NUMBER OF INITIAL CONTACTS. Recorded here should be a total of all the persons contacted individually and informed about the EEP service. These statistics should be reported by Linking Agents and by Retrieval Center Personnel for the REPORT PERIOD and YTD.

Block 10: NUMBER OF FOLLOW-UP CONTACTS. Recorded here are any contacts made directly by phone, letter, in person or otherwise with a client following the initial contacts. These follow-up contacts include those made before and after the document sets are delivered. These contacts include any made by Linking or Retrieval Center personnel and should be recorded by REPORT PERIOD and YTD.

Block 11: NUMBER OF DOCUMENT SETS DELIVERED. Recorded here are the number of document sets delivered to clients by Linking Agents or Retrieval Center personnel. These document sets may be the result of searches or sets which were previously on hand. The total should be recorded by REPORT PERIOD and YTD.

Block 12: NUMBER OF DOCUMENT SETS REPORTED USED. Using information communicated personally or in written form, the number of document sets reported used should be recorded here. This information could come from linking agents or retrieval center staff. The totals are to be given for the REPORT PERIOD and YTD.

Block 13: NUMBER OF DOCUMENT SETS REPORTED IRRELEVANT. Using information communicated personally or in written form, the number of document sets reported to be relevant by the clients should be recorded here. This information could come from linking agents or retrieval center staff. The totals are given for the REPORT PERIOD and YTD.

SECTION I - SEA TOTALS

Block 14: NUMBER OF PROGRAMS CHANGED. Record here the number of programs - in administration, in the classroom or other educational setting, which have been changed as a direct result of information disseminated by the EEP. State the totals for REPORT PERIOD and YTD.

Block 15: NUMBER OF NEW PROGRAMS INSTITUTED. Record here the number of programs - in any educational program such as administration, in the classroom or otherwise, that

have been instituted as a direct result of the EEP. State the totals by REPORT PERIOD and YTD.

Block 16: NUMBER OF STUDENTS AFFECTED. Record here the number of students affected in some manner as a result of information from the EEP. This can include such things as a teacher's rewriting his curriculum or a district administrator changing the school system. Record the number by REPORT PERIOD and YTD.

Part III - Narrative (figure 4.3)

Narrative on Part I - Progress Statistics

A. COST COMMENTS

This section is used to explain or amplify the statistics concerning progress made and funds expended. Comments are mandatory when: (1) dates are changed, (2) manhour or costs either actual or projected exceed grant estimates and (3) when an activity is added or deleted.

B. GENERAL COMMENTS

This portion is used to explain or identify in narrative format progress or lack of progress made during the report period. Problem areas and their proposed solutions will be identified here.

This is the place for management remarks concerning progress made on establishing the EEP in the state. This will include highlighting achievement of significant goals or milestones. Problem areas reported will include: (1) a statement of the problem, (2) related facts bearing on the problem, (3) discussion of these facts as required, (4) alternative courses of action, (5) recommended solution and (6) specific action(s) requested of the Federal Program Monitor.

I. MAJOR ACTIVITIES DURING THE REPORT PERIOD

This portion is used to describe the major thrust of efforts made in progress during the period. It will depict the project manager's concept of the major steps accomplished toward his goals.

Narrative on Part II - Operational Statistics

A. INFORMATION RETRIEVAL CENTER

Use this section to amplify or explain the statistics concerning the operation of the retrieval center. This section should also be used for comments concerning operational achievements that are of sufficient importance to pass on for other participants to use. Turn around time, technical problems encountered, inquiry volume changes due to specific reasons, search rate per employee, and many other items represent areas of interest to readers of this report and should be reported.

B. LINKING OPERATIONS

This portion of the report shall be used first for explanation of the statistics contained in Section B, Part II, of the report. However, remarks concerning all or any phase of the linking operation should be included. The type linking program used, (i.e., full time agent, part time agent, etc.) should be identified and where appropriate commented on. Items such as significant differences in volume of responses between agent areas of responsibility, high incident rates of irrelevant document sets being delivered and such items as geography, demographic peculiarities and others should be commented on.

C. CHANGES EFFECTED

Report each change effected as a result of the EEP. These comments will be as complete as possible, describing the change itself, the effect it played and how it was directly attributed to the EEP. Attach Case Studies as appropriate. (See Figure 5 for recommended case study format).

Narrative on Special Topics

Use this section for comment on topics of special interest to the Project Director that are not reported in other sections. Use this section for comment upon special Federal objectives announced for the current fiscal year.

CASE STUDY RECOMMENDED FORMAT

I. TOPIC: Describe the topic in a narrative paragraph.

II. REQUESTER/SOURCE: Identify source of request, job title and address.

III. SEQUENCE OF EVENTS: Itemize the sequence of events as they occurred. Include the activities of retrieval and agent personnel as well as activities of other agencies or individuals. Specify dates of events as appropriate.

IV. RESULTS OF ACTION: Summarize the results of the activity, highlighting positive or negative aspects reflecting on the EEP. State in measurable terms how education was improved as a result of EEP activity. If possible state such items as dollar benefits, improved management systems, persons affected, and how they were affected.

V. LESSONS LEARNED: Identify and explain those lessons learned that will benefit the EEP Program in this and other states.

VI. ACTION STILL REQUIRED: Specify remaining action to be taken and person(s) responsible as a result of this topic.

Figure 5

3 - III APPLICATION FOR APPROVAL

Forms used by the federal government require approval from the Office of Management and Budget (OMB). OMB requires that a completed Form 83: Clearance Request and Notice of Action (see figure 8) with an accompanying Supporting Statement, a copy of the form, and its preparation instructions be included in any request for forms approval. A copy of the program announcement must also be submitted.

All of this information is included in this document on the following pages:

Form 83: Clearance Request and Notice of Action - page 36

Supporting Statement - pages 37-39

Copy of the Statistical/Narrative Report - pages 16-18

Preparation Instructions - pages 19-33

This required information must be packaged in the following manner, as specified by OMB:

(1) 3 copies of Form 83

(2) 3 sets of materials with each set containing the following items in this order:

(a) Supporting Statement

(b) Copy of the Form

(c) Preparation Instructions

STANDARD FORM NO. 83
OFFICE OF MANAGEMENT AND BUDGET

CLEARANCE REQUEST AND NOTICE OF ACTION

(Under Federal Reports Act and Bureau of the Budget Circular No. A-40, as amended)

FOR O.M.B. USE

IMPORTANT – Submit the required number of copies of SF-83, together with the material for which approval is requested to:

READ INSTRUCTIONS BEFORE COMPLETING FORM

CLEARANCE OFFICER
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

PART A – REQUEST BY FEDERAL AGENCY FOR CLEARANCE

*Items marked with asterisk may be omitted for preliminary plans or recordkeeping requirements

1. SEND "NOTICE OF ACTION" TO: Name and mailing address

National Institute of Education
Dissemination Task Force, Code 401
400 Maryland Avenue, S.W.
Washington, D.C. 20202

2. Bureau and division or office originating request

Dissemination Task Force
Code 401

3. Name(s), title(s), and telephone numbers of person(s) who can best answer questions regarding request.

Robert Chesley
Research Associate
755-7484

FORM OR DOCUMENT IDENTIFICATION

4. Title of form or document submitted

Education Extension Program
Statistical/Narrative Report

*5. Agency Form Number(s)

N/A

6. Type of form or document

1 ☐ Application
2 ☐ Program evaluation
3 ☒ Other management report
4 ☐ Statistical survey or report
5 ☐ Preliminary plan or contract
6 ☐ Recordkeeping requirement
7 ☐ Other – Specify

7. Current (or former) O.M.B. clearance – Number

N/A

Expiration date

8. Requested expiration date

31 December 1977

9. Type of request

1 ☒ New
2 ☐ Revision
3 ☐ Extension (No change)
4 ☐ Reinstatement

*10. Frequency of use

1 ☐ Single time
2 ☐ On occasion
3 ☐ Weekly
4 ☐ Monthly
5 ☒ Quarterly
6 ☐ Semi-annually
7 ☐ Annually
8 ☐ Other (See instructions)

11. Related forms or documents (Give O.M.B. number. Enclose in parentheses any to be replaced.)

N/A

12. Catalog of Federal Domestic Assistance program number (if applicable)

N/A

COLLECTION AND RESPONDENTS

*13a. Collection method (Check as many as apply)

1 ☒ Mail
2 ☐ Personal interview
3 ☐ Other – Describe

*13b. Collected by –

4 ☒ Agency
5 ☐ Contractor
6 ☐ Other – Describe

14a. Type of respondents involved (Check predominant one)

1 ☐ Individuals or households
2 ☐ Business firms (non-farm)
3 ☐ Farms
4 ☒ Government agencies
5 ☐ Other – Describe

14b. Brief description of respondents (i.e., "households in 50 largest SMSA's; "retail grocery stores")

State Educ. Agencies

*15. Summary of estimated respondent burden	Number
a. Estimated number of respondents	30
b. If sample, approximate number in universe	–
c. Reports filed annually by each respondent (item 10)	4
d. Total annual responses (a X c)	120
e. Estimated average number of man-hours required per response	20
f. Estimated TOTAL MAN-HOURS of respondent burden (d X e)	2400

AUTHORITY AND CONFIDENTIALITY

*16a. Is report form –

1 ☐ Voluntary?
2 ☒ Required to obtain benefit?
3 ☐ Mandatory? Cite statute

*16b. Does your agency pledge confidentiality?

1 ☐ Yes
2 ☒ No

CONSULTATIONS OUTSIDE AGENCY

17. In developing the report form or other documents, were consultations held with individuals or organizations outside your agency?

1 ☒ Yes – If "yes," identify persons and describe outcome in SUPPORTING STATEMENT. (See instructions)
2 ☐ No

CERTIFICATION BY AUTHORIZED OFFICIALS SUBMITTING REQUEST – We certify that the form or other document submitted for approval is necessary for the proper performance of this agency's functions, that the information requested is not available from any other source, to the best of our knowledge, and that the request is consistent with applicable O.M.B. and agency policy directives. Signature and title of:

Approving official for agency	Date	Agency clearance officer or other agency official	Date

figure 6

STANDARD FORM NO. 83 — OFFICE OF MANAGEMENT AND BUDGET

CLEARANCE REQUEST AND NOTICE OF ACTION

(Under Federal Reports Act and B.O.B. Circular No. A-40, as amended)

PART B – NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

In accordance with provisions of the Federal Reports Act and Bureau of the Budget Circular A-40, as amended, **the action indicated below has been taken with respect to your request for clearance** of the report form or other document indicated in Part A on the reverse side.

1. ☐ APPROVED. The information appearing in the box below must appear in the upper right-hand corner of the report form:

O.M.B. No. _____

Approval Expires _____

2. ☐ APPROVED, through _____. The information appearing in the box below must appear in the upper right-hand corner of the report form:

Form Approved

O.M.B. No. _____

3. ☐ APPROVED, under O.M.B. No. _____. The statement in the box below must appear prominently somewhere in the regulation, manual or other document:

The reporting and/or recordkeeping requirements contained herein have been approved by the Office of Management and Budget in accordance with the Federal Reports Act of 1942.

4. ☐ **O.M.B. No.** _____ **PC**

Approval expires _____

This number is evidence of preliminary approval only. Specific data collection plans and report forms are subject to further review under Budget Circular A-40 before final approval action can be considered.

NOTE: Please refer to Office of Management and Budget Approval Number in all future correspondence regarding this clearance.

5. ☐ REVIEW SUSPENDED _____

6. ☐ **DISAPPROVED,** or other FINAL action, for the following reasons (s): _____

7. Remarks:

8. ACTION APPROVED BY	Name (Signature)	Title	Date

IMPORTANT – If your request for clearance has been APPROVED (i.e. boxes 1, 2, or 3 are checked), the following should be sent to O.M.B. on a post-clearance basis, as soon as available:

Two copies of the final PRINTED, (or otherwise reproduced) report form, or reporting or recordkeeping requirement, transmittal letter, instructions, and any other document being sent to each respondent.

FOR O.M.B. USE	1.	2.	3.	4.	5.	6.	7.	8.	9.	10.
	11.	12.	13.	14.	15.	16.	17.	18.	19.	20.

U. S. GOVERNMENT PRINTING OFFICE : 1972 O - 481-544

SUPPORTING STATEMENT

DOCUMENT TITLE: Educational Extension Program
Statistical/Narrative Report

SUBMITTED BY: National Institute of Education
Dissemination Task Force, Code 401
400 Maryland Avenue, S.W.
Washington, D.C. 20202

A. SUPPORTING STATEMENT FOR NEW FORM ON REPORTING REQUIREMENTS

1. Justification

The National Institute of Education is conducting experiments in twenty/thirty states on the dissemination of educational information with the goal of effecting change for the better in education. States participating in these experiments are to be selected initially on a competitive basis and will be awarded Federal grants for the work. These experiments are expected to last for a period of three to five years.

The EEP Statistical/Narrative Report is a combination report that provides essential management information to NIE concerning the expenditure of Federal funds in relation to achievement of Federal/State objectives. This report provides the only management visibility that NIE will have into the program during the duration of the grant other than that provided by staff visits. Consequently, approval of the report format is necessary for proper program management.

The data contained in the report will be used by the NIE staff to monitor the expenditure of Federal money and progress made toward accomplishment of Federal goals. The information reported in Part II, Operational Statistics, and Part III, Narrative, will be used by the NIE staff to measure results obtained from the various programs in relation to other states with different situations and also to provide the basis for decisions affecting the future direction of the experimental programs.

The information that will be provided by subject reports is not now available from any other report or form.

2. Description of Survey Plan

(1) Twenty to thirty states will be participating in the program and all will be respondents.

(2) N/A

(3) N/A

(4) N/A

3, Tabulation and Publication Plans

N/A

4. Time Schedule for Data Collection and Publication

N/A

5. Consultations Outside the Agency

(1) The proposed report format and preparation instructions were prepared by: Evaluation Technologies, Incorporated; Suite 130, 1121 Arlington Blvd.; Arlington, Virginia 22209, under contract with the National Institute of Education.

Other persons and agencies they represent that were consulted are listed below:

Dr. William E. Ellis
South Carolina Department of Education
1429 Senate Street, Room 1203
Columbia, South Carolina 29221

Mr. George Katagiri
Oregon Board of Education
942 Lancaster Drive, N.E.
Salem, Oregon 97301

Dr. Kenneth P. Lindsay
Utah State Board of Education
1400 University Club Building
136 East South Temple
Salt Lake City, Utah 84111

Award of grants to participating states will be contingent upon their agreement to prepare and submit quarterly report on proposed format.

(2) Data availability and reportability was ninety percent obtained from respondent and potential respondent groups.

(3) See 5.(1) above

6. Estimation of Respondent Reporting Burden

(1) Estimates are based upon (1) experience of NIE staff with other similar programs, and (2) advice gained through consultation with the firm and individuals listed in paragraph A.5 above. A detailed breakout of the time estimate is shown below:

Data Compilation - (Parts I & II)	2 people 2 hours each =	4 hours
Management Comments (Part III) =		2 hours
Case Histories Compilation =		2 hours
Date Compilation		
Part I =		4 hours
Part II =		4 hours
Management Comments (Part III) =		3 hours
Case History Compilation =		4 hours
Clerical (typing/reproduction)=		3 hours
Management review/signature =		2 hours
TOTAL/QUARTER		32 hours

(2) See 6.(1) above

(3) N/A

7. Sensitive Questions

N/A

8. Estimate of Cost to Federal Government

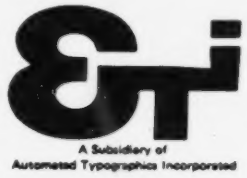
N/A - Other Management Report

B. UPDATING SUPPLEMENTAL SUPPORTING STATEMENT FOR EXTENSION OR REVISION OF EXISTING FORM OR OTHER DOCUMENT.

N/A

C. OTHER DOCUMENTS TO BE SUBMITTED.

N/A



EDUCATIONAL EXTENSION PROGRAM

SCOPE REQUIRED FOR OPERATION AND MAINTENANCE SYSTEM PARAMETERS FOR LONG RANGE MONITORING OF THE EEP,

AND

CRITERIA TO BE USED IN EVALUATING PROPOSALS FOR OPERATION AND MAINTENANCE OF THE PROGRAM

EVALUATION TECHNOLOGIES INCORPORATED

Suite 130, 1121 Arlington Blvd. • Arlington, Va. 22209 • (703) 525-5818

EDUCATIONAL EXTENSION PROGRAM

SCOPE REQUIRED FOR
OPERATION AND MAINTENANCE,

SYSTEM PARAMETERS FOR
LONG RANGE MONITORING
OF THE EEP,

and

CRITERIA TO BE USED IN
EVALUATING PROPOSALS FOR
OPERATION AND MAINTENANCE
OF THE PROGRAM

PREPARED FOR:

UNITED STATES NATIONAL INSTITUTE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
WASHINGTON, D.C.

PREPARED BY:

EVALUATION TECHNOLOGIES, INC.
SUITE 130, 1121 ARLINGTON BOULEVARD
ARLINGTON, VIRGINIA 22209

DATE PREPARED:

DECEMBER 1972

(REVISED JANUARY 1973)

CONTRACT NUMBER:

SB3-2-0-8(a)72-C-382
TASK VIII

FOREWORD

This document constitutes the deliverable product for Task VIII, Contract Number SB3-2-0-8(a)72-C-382 between Evaluation Technologies, Incorporated and the United States National Institute of Education.

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CHAPTER 1
INTRODUCTION

1-I TITLE

(a) Design of Parameters for Monitoring the Educational Extension Program

(b) Determination of the Scope Required for Operation and Maintenance of the Program; and

(c) The Criteria for Use in Evaluation of Operation and Maintenance Proposals

1-II PURPOSE

The purpose of this document is to describe the three components of the Education Extension Program as listed in Paragraph 1-I above. These items are described in subsequent paragraphs of this document.

1-III SCOPE

The scope required for operation and maintenance as described herein is directed specifically at those programs conducted by NIE during the experimental phase of this program. Scope, as pertains to an operational type program that may result from these experiments, is mentioned only in terms of "span of control."

The parameters for monitoring the Educational Extension Program are only those concerned with the experimental portion of this program as promoted by the National Institute of Education and participated in by various states during the next 3-5 years.

The criteria for use in evaluating operation and maintenance proposals pertain only to those experimental programs referred to above.

1-IV GENERAL

General parameters that are of interest to those involved in the long-range monitoring of the EEP are provided in this document. Identification of additional parameters which will be possible as more statistical data becomes available is also contained herein. It then follows that the scope required for operation and maintenance of this program will fit within these parameters and will further spell out the depth of program coverage.

The criteria used for evaluation of proposals for operation and maintenance of the program also reflect the goals and objectives of the Federal Government since this criteria is deliberately couched in the same language. Also included are samples of evaluation procedures recommended for adoption and use in evaluation of proposals. The criteria reflect the program's direction towards an experimental mode.

CHAPTER 2
SCOPE REQUIRED FOR OPERATION AND MAINTENANCE

2-I GENERAL

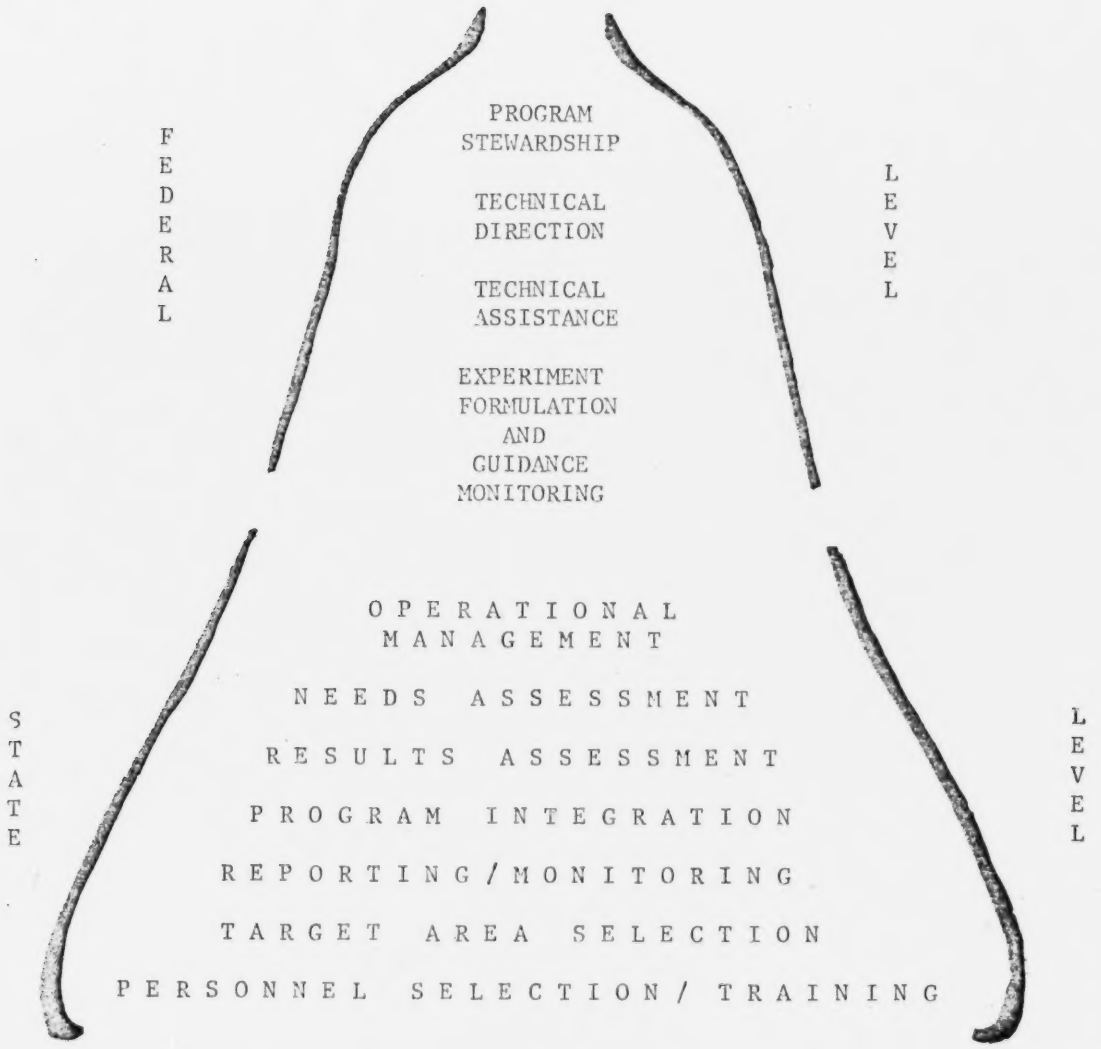
This chapter is devoted to the Scope of Work required for operation and maintenance of the Educational Extension Program (EEP). It identifies the range of operation and extent of influence for Federal and State Program participation. The chapter is provided to clearly define and distinguish between the role of these two separate levels of government. The two governmental levels are represented in this text by the National Institute of Education (NIE) and the State Education Agency (SEA).

Since the program will be conducted in an experimental mode for the next five years and since state participation will be on a competitive basis initially, the Scope of Work for the SEA's will reflect this limited duration. The Federal role is projected only during the experimental portion of the program. The scope for both levels will have to be modified provided a decision is made to proliferate an EEP to all fifty states.

Figure 1 depicts in general terms the scope of work at the Federal and State level. This figure is drawn in a bell type configuration to demonstrate the rather narrow scope of responsibility and tasks at the Federal level and the broader task scope at the State level where the program must be operationally managed in all aspects. This is not designed to minimize the Federal scope or the responsibility, for example,

figure 1

EDUCATIONAL EXTENSION PROGRAM
(EEP)



of providing technical direction and assistance to the program. Instead it shows that the State level is where the Scope of Operation and Maintenance broadens to encompass the full range of management responsibilities inherent in any system involving manpower and resource expenditure.

2-II FEDERAL (NATIONAL INSTITUTE OF EDUCATION)

NIE is the Federal program proponent and Federal monitor for this program. The charter to experiment in educational practices aimed at improving education in America offers NIE a unique opportunity to perform their experimental tasks while concurrently using the Federal funds to promote education in the participating states. The Educational Extension Program is an example of such an opportunity.

In general, NIE has the responsibility for formulating, testing, and evaluating the results of selected hypotheses. In the EEP these hypotheses pertain to dissemination of information.

NIE will provide funding for the EEP during the experimental 3-5 years of the program. Funds will be provided in the form of grants to State Education Agencies and will be awarded on a competitive basis.

NIE will provide management information, technical direction and assistance. This includes technical information concerning establishment of the information retrieval center and the linking program, plus assistance in selection and training of personnel. NIE performs this task both with in-house capabilities and utilizing private contractors. NIE also has the responsibility of coordinating the other Federal programs that contribute to the EEP.

2-III STATE EDUCATION AGENCY (SEA)

State Education Agencies will compete in the EEP on a voluntary but competitive basis. Competition for Federal grants will be conducted by preparation of and submission of proposals (Plans of Work) which will be evaluated by an NIE panel.

The states' task is to establish an operating Educational Extension Program in the state within the parameters described in Chapter 3 of this document and as established in the Federal Program Announcement.

This program consists primarily of establishing:

(1) An Information Retrieval Center

(2) A Linking Program (agent or otherwise)

(3) State level management for (1) and (2) above, and

(4) A capability to gather and report progress and operating information to the Federal Monitor.

The scope of each state's participation depends to a large degree upon the negotiation of Federal/State objectives. That is, the States will be obligated to accomplish each of the Federal objectives. This represents a limiting factor which has the effect of dictating the scope of work to the states.

Scope is also measured by the number of students affected by the experimental program, the number and type of linking agents and the dollar total of the Federal grant coupled with the State money set aside for the program. All of these are means of measuring the size and extent of the program.

Additionally, States will be required to cooperate in testing the hypotheses developed for the EEP by NIE. Since several hypotheses are

to be tested, different states may have different specific requirements. However, all are being tested to arrive at the optimum solution for (1) data dissemination, and (2) effecting educational change.

SEA's will be responsible for:

(1) Personnel - Selection, hiring, firing, administration and training

(2) Operations - Direct responsibility for day to day operation of the program, including management policies and direction.

(3) Results - Responsible for program results in the state school system and for recording/reporting results.

(4) Self-Evaluation - A system for obtaining feed-back from the user regarding the usefulness of the information and total service of the EEP.

(5) Program Integration - Integration of program with other state/federal education programs.

(6) Site Selection - Selection of School District(s) for program insertion (coordinated with Federal Monitor).

(7) Objectives - Correlation of Federal and State objectives and accomplishment of Federal objectives

(8) Planning - Plans for expanding services beyond initial target districts; and plans for expanding retrieval capabilities.

In summary, physical operation and maintenance of the EEP on a day to day basis will fall within the Scope of the SEA's responsibility. The Federal Government will help by providing (1) technical assistance, (2) funding, (3) federal objectives and hypotheses, (4) management assistance, and (5) conducting a joint review at the end of each grant period.

2-IV SCOPE

The Scope of the Educational Extension Program is better grasped by collective consideration of the items listed below:

(a) The number of participating states, the dollar cost per state for the program, and the amount of Federal and State funds involved.

(b) The number of school districts and their geographic dispersion within each participating state.

(c) The types of control exercised by the Federal Government through reports, program reviews and technical guidance.

(d) The span of control that is acceptable to the Federal Agency charged with program stewardship.

To better understand the magnitude of the Operation and Maintenance task for the EEP system it is necessary to examine each of the above items in more detail.

Number of Participating States and Cost

First, the number of states participating in the program affects the amount of Federal monies required. Initiation of the Educational Extension Program, including establishment of a retrieval center, will cost an estimated $100,000 per state per year. Expansion of this program to fifty states all in experimental programs would require an annual expenditure of about 5 million dollars. Expansion of this infant program throughout each state might require double that amount of money to 10 million dollars per year.

These cost estimates are only for the states themselves; they do not include the Federal staff that must direct and monitor such a program. This would mean additional funds, of course, with the amount depending upon the number of states participating and how much of the

financial burden the states are actually able to accept.

School District Number and Geographic Dispersion

This item would be measured in two ways: First, the amount of money required per state to secure the initial school districts, and, secondly, the type of linking program or number of agents required for a school district would vary from state to state. For example, in Colorado, many cities have seven or eight school districts within city boundaries. All of these could be served by one agent. However, Fairfax, Virginia has only one school district for a population of 500,000 plus people. One agent could not possibly serve all the schools in the Fairfax County School District.

Therefore, it follows that the Scope of the EEP is measured more by the size of the linking program than it is by geography, although the geography and population density establish the number of agents required for the program to be successful.

Types of Control

The stated federal interest in the EEP is "to exercise a minimum amount of control" over the program in each state. However, the Federal Government will exercise control of fund expenditures and provide direction to the program through:

A Daily Activity Report

This report is prepared daily by each person funded by the program. It relates the hours worked each day to the Federal/State objectives established in the Grant.

A Quarterly Activity Report

This is a combined Statistical/Narrative report. It is a very comprehensive, detailed report concerning progress made on establishing the EEP and operating statistics, and it requires accurate and complete record keeping. The statistical portion concerning program progress relates money spent directly to the Federal/State goals as established during Grant negotiation. The program operation statistics report the quantity and quality of the EEP work being performed. The narrative portion of the report is used first to amplify the statistical story and secondly as a forum for the Project Manager to report problems, recommend proposed solutions, and present case histories of outstanding program success or failure.

An Annual Program Review

This will be conducted for each participating state once for the duration of each grant; it will be held near the end of the grant period. This review will be held at the state concerned. It will be conducted by a team of professionals headed by a member of the NIE staff. The review's purpose will be to (1) determine satisfactory achievement of Federal goals, (2) provide proof/disproof of Federal hypotheses, and (3) give guidelines for future program direction. An official report will be rendered covering strengths and weaknesses of the program with distribution to the State Education Agency.

Span of Control

This item refers only to Operation and Maintenance of an on-going EEP. It applies only to the scope and magnitude of the EEP program stewardship task at the Federal level.

During the experimental phase of the Educational Extension Program, direct control from NIE through the State Education Agency is feasible and desirable. However, if and when such a program converts to an on-going federal program that can be expected to continue for a number of years, transfer of monitorship to an operating agency must occur. This transfer is necessary to first of all allow the NIE staff to pursue its experimental mission and secondly the expansion of the program to all fifty states will require a reduction in the Span of Control.

CHAPTER 3
SYSTEM PARAMETERS FOR LONG RANGE MONITORING OF THE EEP

3-1 GENERAL

System parameters are an integral function of long range monitoring of the EEP. Using the Reporting/Data Collection System designed in Tasks III, IV and V, reference contract, the objectives of the NIE and individual states can be monitored, studied and projected.

The goals of the EEP, such as improving communication between educators, speeding the flow of information to them, making a real change in the learning of children, etc., are monitored on Part II, Operational Statistics, of the Statistical/Narrative Report (See figure 2).

The system for accumulating the Operational Statistics and using them to appraise effectiveness and future directions will be outlined in this chapter. The procedures for deriving additional parameters for the long-range monitoring of the system in the future will also be explained.

In order to design parameters for new states which will join the program in 1973, a study of existing state EEPs was made, and their operational statistics collected. These statistics had been reported to NIE according to individual state designs, thus the available data had to be converted to one common system. The statistics were then

SIGNATURE: _____

1. NAME (typed): _____
2. JOB TITLE: _____
3. STATE: _____

EEP STATISTICAL/NARRATIVE REPORT

PART II - OPERATIONAL STATISTICS

4. REPORT PERIOD:

_____ to _____

DATE: _____

Section A - INFORMATION RETRIEVAL CENTER

5. AUDIENCE			SEARCHES			
Type	Quantity			6 Number Completed	7 Average Hours Per Search	8 Average Turn-around Time
	Report Period	YTD				
			LEVEL A Report Period			
			- - - -			
			YTD			
			LEVEL B Report Period			
			- - - -			
			YTD			
			LEVEL C Report Period			
			- - - -			
			YTD			
			LEVEL D Report Period			
			- - - -			
			YTD			

Section B - LINKING OPERATIONS

	9 Number Initial Contacts	10 Number Follow-up Contacts	11 Number Document Sets Delivered	12 Number Document Sets Reported Used	13 Number Document Sets Reported Irrelevant
Report Period					
YTD					

Section C - SEA TOTALS

	14 Number of Programs Changed	15 Number of New Programs Instituted	16 Number of Students Affected
Report Period			
YTD			

PART II - OPERATIONAL STATISTICS

PREPARATION INSTRUCTIONS

BLOCKS 1-4 Self explanatory

BLOCK 5 Enter audience type selected from Chart A below under column labeled "Type." Enter number of this audience for which searches were conducted during the report period under block so titled. Enter the total of this audience type served for the year to date under the block labeled "YTD." Repeat as often as required. Attach additional sheets as needed.

BLOCK 6 Enter total number of inquiries completed per level for report period and YTD

BLOCK 7 Enter average working hours per search (nearest 1/4 hour) - report period and YTD (all levels)

BLOCK 8 Enter average turn around time in working hours (received until mailed) for report period and YTD (all levels)

BLOCK 9 Enter number of initial contacts made - report period and YTD

BLOCK 10 Enter number of follow-up contacts made - report period and YTD

BLOCK 11 Enter number of document sets delivered - report period and YTD

BLOCK 12 Enter number of document sets that were reported used by recipient - report period and YTD

BLOCK 13 Enter number of document sets reported irrelevent by recipient - report period and YTD

BLOCK 14 Enter number of Educational/Administrative programs changed because of EEP - report period and YTD

BLOCK 15 Enter number of new programs, instituted by clients due to products furnished - report period and YTD

BLOCK 16 Enter number of students affected by changes and new programs - report period and YTD

CHART A

AUDIENCE TYPE

LEVEL	TYPE
A State	a Student
B Federal	b Teacher
C Local or Intermediate	c Administrator
D Higher Education	d Learning Resource
E High School	e Pupil Personnel/ Counselor
F Middle School	f Researcher
G Elementary School	g Public
H Other	h Policy Board Member
	i Information Agent
	j Other

EXAMPLE; Gb = Elementary Teacher

CHART B

SEARCH LEVELS

A. Orders for specific documents (e.g., microfiche, PREP reports, bibliographies, interpreted summaries, etc.)

B. Requests that can be answered by references or by one or more specific documents, such as in A. This includes copies of or use of logic for previously conducted searches, other off-the-shelf items, identification of consultants, and referrals to other sources or individuals.

C. Standard Searches that are answered by resumes and/or fiche from an individualized search of ERIC sources. It is assumed that resumes are screened for relevance. There may also be some additional files searched such as files of local practices, ALERT, etc.

D. Augmented Searches that involve extensive searching and screening of files in addition to ERIC, NCEC publications, and previously prepared materials. Such searches will frequently contain a majority of non ERIC materials and references, and involve considerable expenditure of staff time.

analyzed and the parameters that evolved are reported here.

The parameters contained in this chapter represent the best information available. They should be provided the Project Director of States that are initiating programs for their planning purposes. Additionally, the NIE staff should use these parameters as guidelines with which to expect a level of performance (keeping in mind, of course, the source of the parameters). The NIE staff will also want to design new parameters, periodically refine the parameters described in this chapter, and base these upon statistics collected from the new reporting system and additional state participants.

3-II PARAMETER CAPABILITIES USING REPORTING/DATA COLLECTION SYSTEM DEFINED IN TASKS III, IV, V, REFERENCE CONTRACT

Under the Reporting/Data Collection system, the information reported by all states will provide consistent and useful data for in depth examination of program effectiveness and growth by the Federal Monitor and states themselves. The impact and efficiency of each state's education can be measured and compared to the growth of other states. The most useful data will be reported to NIE on the "Operational Statistics" form (see figure 2) of the quarterly EEP Statistical/Narrative Report.

The Operational Statistics form contains the following items of information to be used as the basic data for designing parameters of development, operation, or effectiveness of EEP's:

Item #1: Name of person filling out the report form

#2: Job title of the person filling out the report form

#3: State in which the program operates

#4: The Report Period in which the statistics were gathered and actual date of the report

Section A - INFORMATION RETRIEVAL CENTER

#5: The Audience using the EEP, the level, type, and number of requests submitted during the report year and the year to date

Searches: These items are categorized by Levels of Searches (A to D) with totals for the report period and year to date.

#6: The number of searches completed

#7: The average number of hours per search

#8: The average turn-around time per search

Section B - LINKING OPERATIONS

All these items are totalled by report period and year to date.

#9: The number of initial contacts made by the linking program

#10: The number of follow-up contacts made

#11: The number of document sets requested

#12: The number of these document sets which were reported to have been used

#13: The number of document sets which were reported to have been irrelevant.

Section C - SEA TOTALS

All these items are totalled by report period and year to date:

#14: The number of programs in the state reported to have been changed as a result of information from the EEP

#15: The number of new programs instituted as a result of

EEP information

#16: The number of students affected by the activities of the EEP

With this information, many facets of the EEP can be studied, and later used as guides for improvement for the State EEP's. For example, the average turn-around time (#8 on form) or number of requests processed (#6) can be plotted. Likewise the levels of search can be analyzed. (These levels are defined on the back of the form in Chart B of figure 2). This information plus the man-hours required to complete the search (#7) for each level, can be used to determine the efficiency of the retrieval center and indicate areas for improvement.

Program effectiveness of each state can be estimated using the information in the boxes: Number of Document Sets Reported Used (#12), and Number of Document Sets Reported Irrelevant (#13). This data can be used to evaluate the State's operation, and can be compared with the level of effort expended with each of the following:

Audience Types (#5)

Levels of Searches (#6)

Average Turn-around Time (#8)

Number of Follow-up Contacts (#10)

The data on program effectiveness can also be used to evaluate the Linking Operations as reported in the boxes in Section B, #9 through #13.

The Number of Initial Contacts (#9)

The Number of Follow-up Contacts (#10)

The Number of Document Sets Requested (#11)

The Number of Document Sets Reported Used (#12)

The Number of Document Sets Reported Irrelevant (#13)

Obviously a goal of the EEP is to improve the education the states provide. An attempt to monitor this and provide some means of quantitative registering of effectiveness is provided in Section C, SEA Totals.

There exists an implication in Section C that all change is good, which, of course, is not always true. However, it can be assumed that the educators instituted the change because they considered it to be an improvement. Using this assumption, the positive impact on the state's education can be measured. The quantifiable items are the Number of Programs Changed (#14), the Number of New Programs Instituted (#15), and the Number of Students Affected (#16).

This information, which measures impact on education, can be used to evaluate the results of the State's operation and the effectiveness of the program in terms of the level of effort expended on each of the following:

Audience Types (#5)

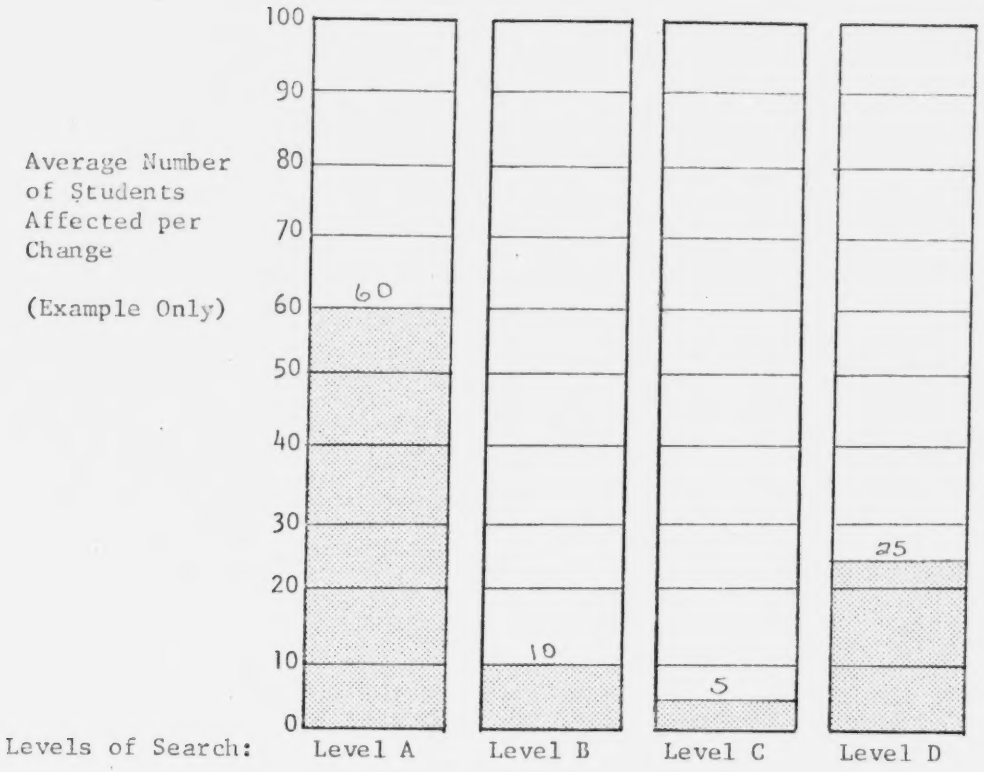
Levels of Searches (#6)

Turn-around Time (#8)

Number of Initial Contacts (#9)

Number of Follow-up Contacts (#10)

For example, the impact made by the Levels of Searches can be portrayed using this type of bar graph:



The above graph shows only one way of examining all the data reported on the Operational Statistics Form. NIE can produce more accurate bar graphs and parameters by utilizing data from a wider sample of participating states than is currently available.

In addition to NIE's monitoring of EEP development, individual states may wish to monitor their own processes in greater detail. They could design other internal statistics reporting forms to capture the needed data to analyze their current effectiveness. States can then project their future program direction.

3-III PARAMETERS OF DEVELOPING PROGRAMS

A. General

All states currently participating in the EEP monitored their own progress in their first year of development. They monitored the

number of requests recieved over a period of time, and the particular groups who were making these requests. Thus, all the graphs and charts which follow reflect an analysis of this basic data.

The usefulness of this information is limited; for instance, it does not measure whether the information was relevant or whether it was useful in instituting educational change or improvement. However, it does tell the project manager how much to expect in volume of requests. The sparcity of consistent data is due to the individual accounting and reporting systems of the states.

The basic data was gathered from the reports of the individual states during their first year of operation and was then assembled by quarter of the year. This data is displayed on the following pages in bar or line graph form. In some cases, the states are separated into two groups: (1) states with linking agents, and (2) states without linking agents.

In the majority of the graphs, it is most desirable to display several data items. Thus, only the mean of such data is displayed; otherwise, the graph would be too cluttered and confusing. The mean demonstrated for the reader is the average number of requests of the states in the group during a given quarter.

For major items, such as the total number of requests received, it is better to display the parameters of the data. The parameters show the reader the degree of reliability of the mean. That is, if the parameters are narrow, then the mean is numerically closer to more of the data. The parameters demonstrate the top and bottom limits within which most (68.27%) of the items fall.

NIE can use the mean and parameters to anticipate in general terms the rate of development and usage of new EEP's to be developed. Based upon available data, studies using line graphs, bar graphs, and parameters were made and are included as follows:

NUMBER OF REQUESTS RECEIVED BY STATES DURING THE FIRST YEAR

NUMBER OF REQUESTS RECEIVED DURING EACH SEASON

LEVELS OF AUDIENCES

TYPES OF AUDIENCES

STUDY OF INDIVIDUAL CLIENTS

B. Number of Requests Received by States During the First Year

These two charts - Chart I for states with agents, and Chart II for states without agents - plot the growth of each program through the first four quarters of development.

Chart I plots four states which had full time extension agents. One state which received an extremely high number of requests during the second and fourth quarters of operation has considerably altered the more gradual growth parameters the others would demonstrate; however, the other states and the mean for all the states presents a picture of the pace of growth NIE should expect from a new program that has full time agents.

Chart II plots three states which did not have full-time extension agents. The broadness of the parameters is an indication of the small size and wide distribution of the sample, which reduces the accuracy in predicting future data. However, some observations can be made: the growth in the number of requests processed each quarter by two of the states can be seen to develop rapidly. On the average,

Chart I

THE NUMBER OF REQUESTS RECEIVED PER QUARTER
IN DEVELOPING PROGRAMS
BY STATES WITH AGENTS

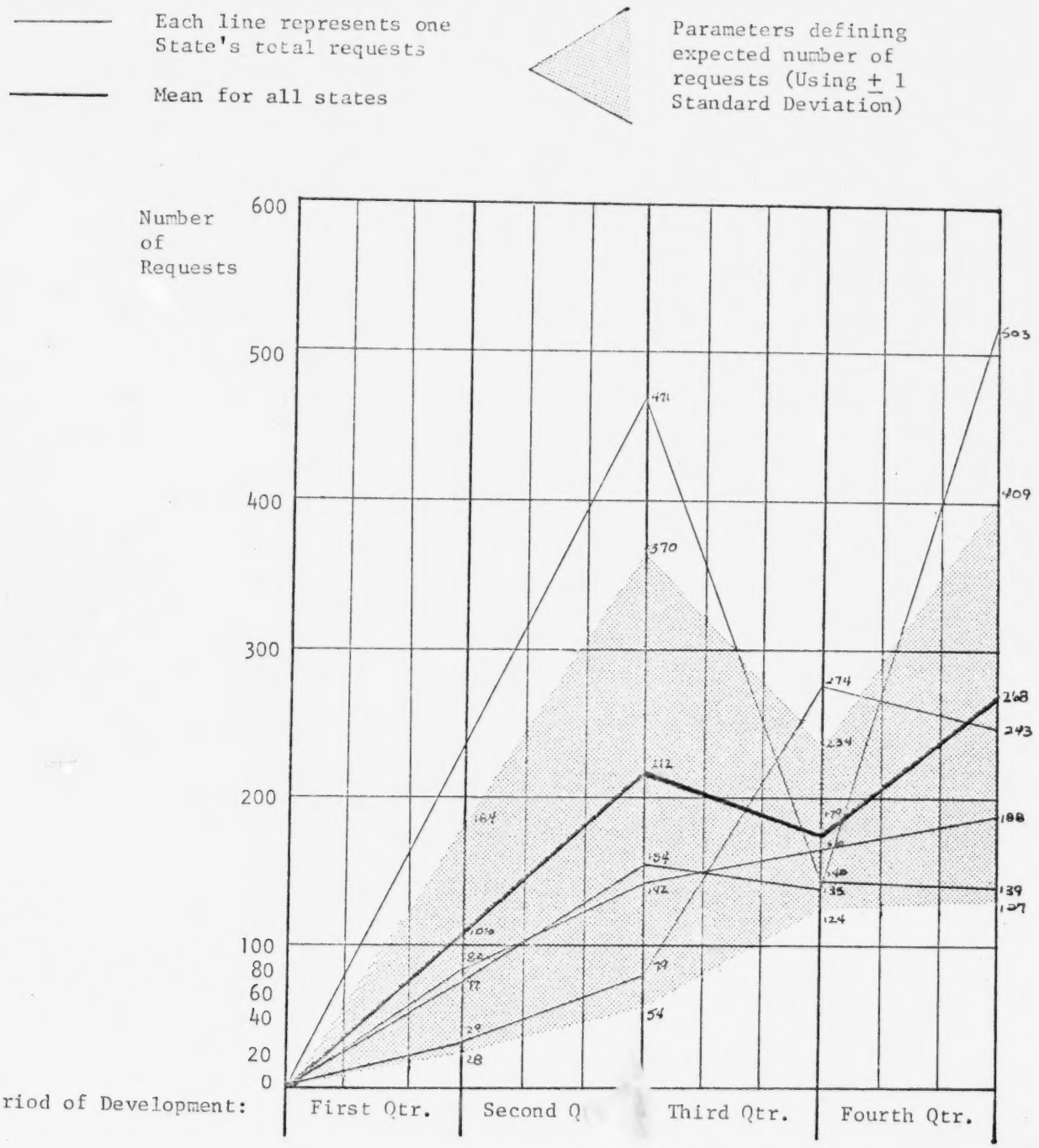
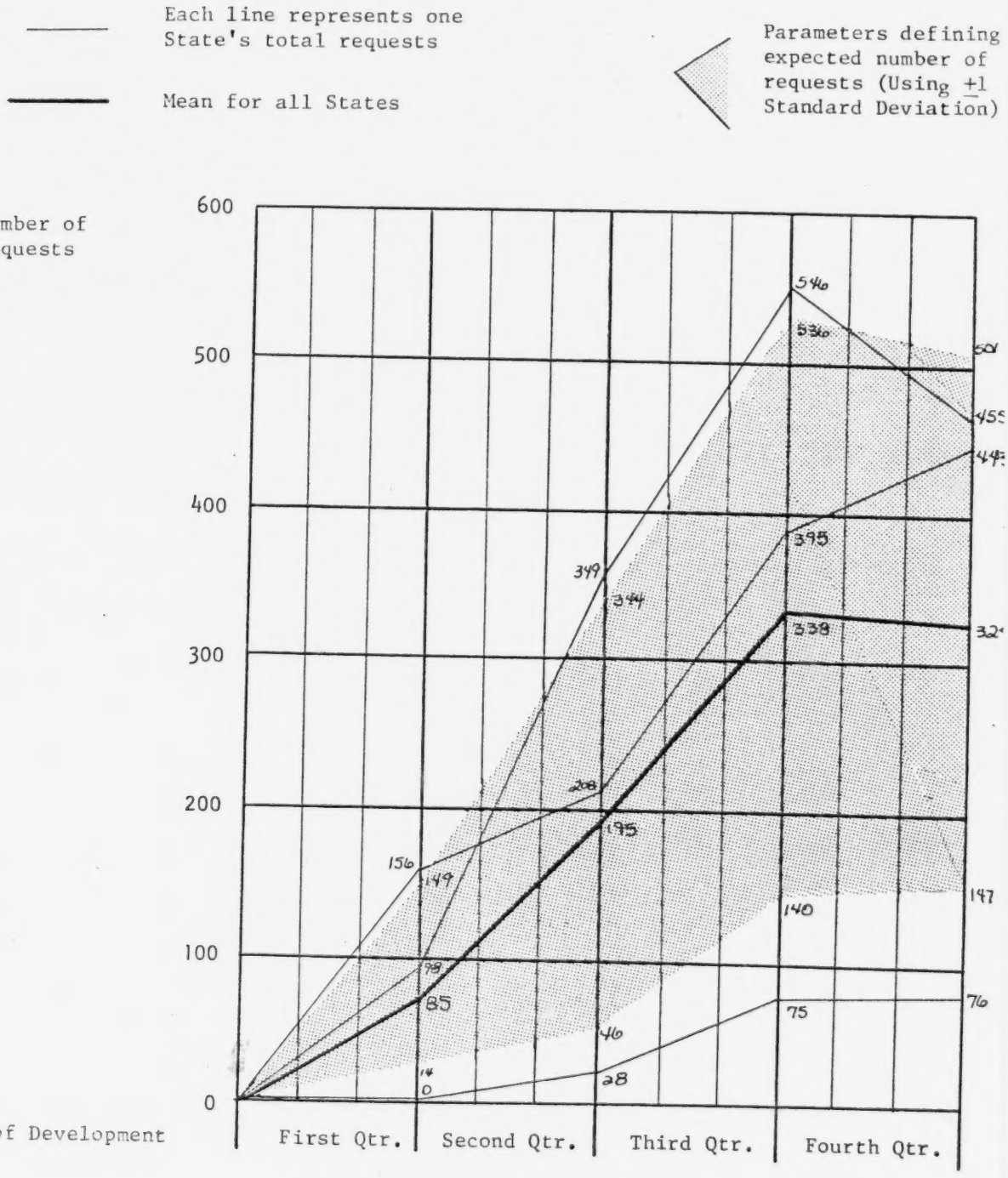


Chart II

THE NUMBER OF REQUESTS RECEIVED PER QUARTER

IN DEVELOPING PROGRAMS

BY STATES WITHOUT AGENTS



the states process the highest number of responses in the third quarter before dropping in the fourth quarter. One state's growth in receiving requests develops at an ususually low rate. The probable cause, since this reflects only requests received, is a low-keyed publicity program. From observation of the mean, it can be anticipated that the number of requests received will increase by approximately 100 per quarter in states without agents during the first year.

C. Number of Requests Received During Each Season

These two charts plot the development of the programs according to the season in which the program began. Chart III shows the basic data for each individual state. Chart IV determines the means and parameters for the two groups: states with agents, and states without agents.

The seasonal cycle of our educational system would, in most likelihood, affect the number of requests received in any given quarter of the year. Seasons would also affect the number of requests from different groups of educators. For example, teachers in the fall are busy planning their year's activities; during the winter they have to prepare semester exams and grades. It is mainly during the spring that the curriculum plans for the remainder of the year are established and the teacher has time to study new ideas as presented by the EEP. Likewise, during the spring, teachers are searching for innovative ways of presenting the material to their students. During the summer, of course, teachers are on vacation and are least likely to use the EEP.

Administrators, on the other hand, work year-round; their workload is distributed over tasks of determining policy, establishing procedures, and operating the school system, all of which demand varying

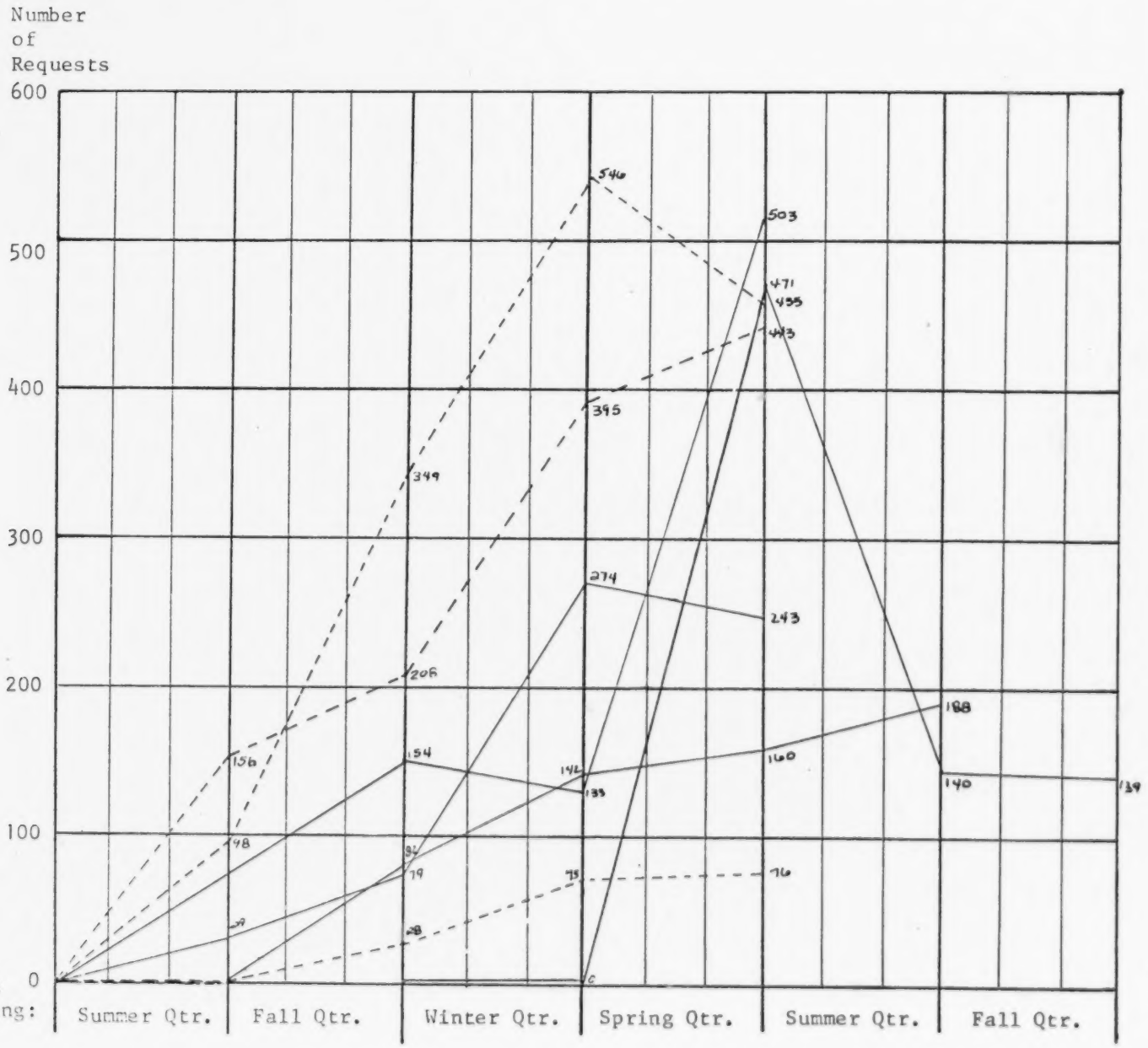
Chart III

THE NUMBER OF REQUESTS RECEIVED

BY SEASON OF THE YEAR

——— Requests received by states with agents

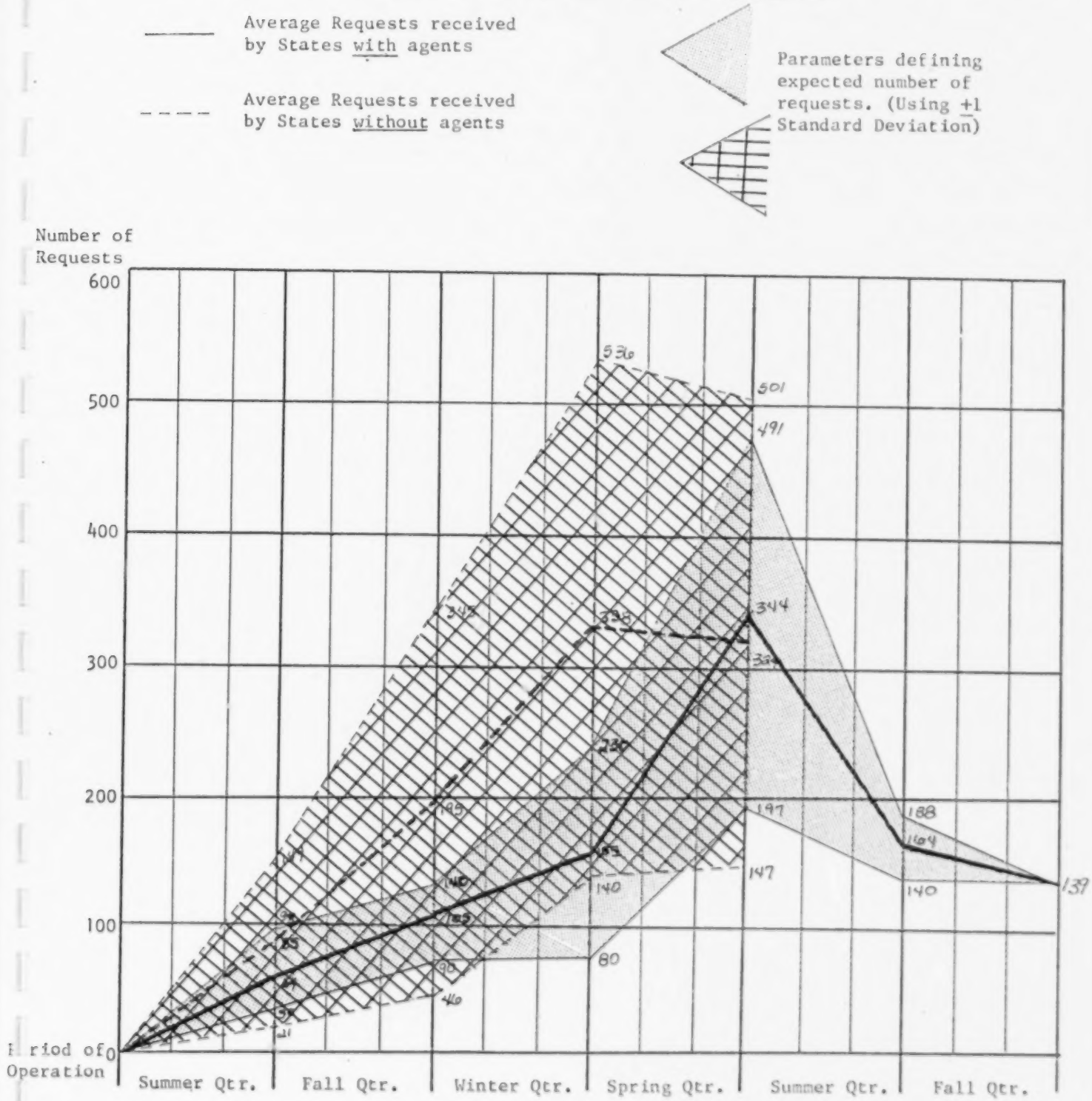
- - - - - - Requests received by states without agents



gram
inning:

Chart IV

THE AVERAGE NUMBER OF REQUESTS RECEIVED BY SEASON



levels of work at different times of the year. During the spring when policies and procedures are established for the year, the administrator has time to research topics aided by the EEP's disseminated information. These two groups are examples of the way in which the seasons can affect the number of requests received by a State EEP. Charts III and IV plot the number of requests by season to find if the seasons do affect the number of requests. It appears that they do. States may wish to study individual groups to determine the variables which affect the individuals at the different times of the year.

Chart III: Each state is plotted from the quarter in which it began to the end of its first year. The actual number of requests received is graphed beginning with 0 for each state during its first quarter.

In the case of the three states without full time agents (indicated by dotted lines), they all began in the summer quarter. The states with agents (shown in solid lines) began in this sequence: two in the summer, one in the fall, and one in the winter.

Little can be surmised from the chart; its usefulness is in presenting the basic data for the parameters in Chart IV.

Chart IV: The mean and parameters are calculated directly from the data shown on Chart III. The data sample of one year is too short in duration to project into the second year of operation for programs, thus only the first four quarters are discussed here.

The programs without agents appear to peak in winter, or in the third quarter of development. This may be attributed to a capability for publicity such as information brochures, mailings, speeches, etc.,

which develops in the third quarter, or to a focus on audience groups which use the EEP most frequently in winter. States with agents peak in the spring. Perhaps this is because the programs with agents rely on people-to-people communication. Thus, it is logical to assume the agent will be in contact with the greatest number of educators in the spring, after meeting them in the school year and before they disperse for the summer.

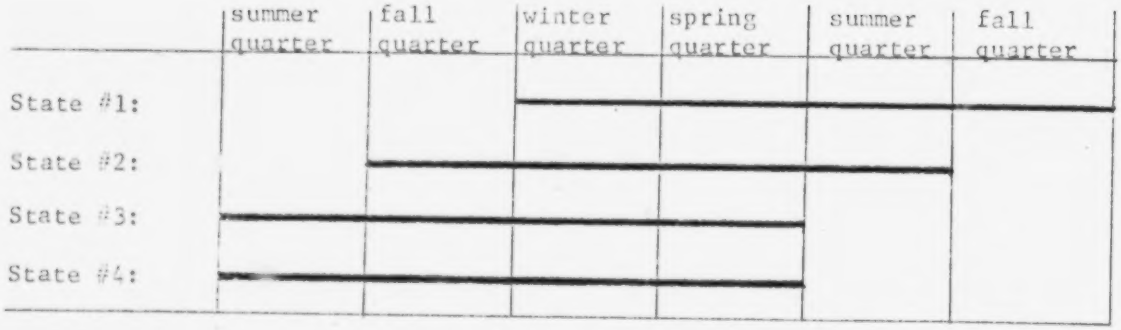
Chart IV also indicates that a greater number of requests are being received by states without agents, although there is a wide range between these states. This wide range indicates that the growth curve of states with agents can be predicted with greater accuracy.

The influence of the seasons can not be tested in the states without agents because they all commenced at the same time of yaar. However, this is not true of states with agents, and because the states with agents began in different quarters of the year, it is possible to contrast the seasonal influence with the development influence on the number of requests received. To do this, compare the "States with Agents" parameters in Chart IV with the parameters in Chart I. The narrower range of the parameters in Chart IV indicates a greater reliability, and accordingly asserts that the frame of the school year strongly influences the growth of the program.

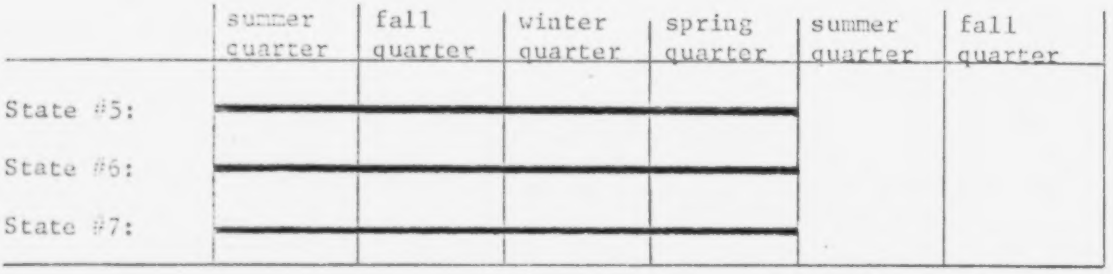
Because the usage of the EEP was determined to be more dependent upon season of the school year than on the quarter of development of the program, the remainder of the charts in this chapter will be plotted by season.

The data gathered is for the first year of development for each state, and the sample size in each season varies according to the following schedule:

STATES WITH AGENTS



STATES WITHOUT AGENTS



Thus, statistics for states without agents will always be based on data from three states. Statistics for states with agents will be based on data from two states during the summer quarter, three states during the fall, and four states in winter and spring. Data from the following summer and fall will be based on 2 and 1 states respectively.

Because of the number and variety of items to be compared on each chart, the mean of the number of requests by defined groups is considered as useful as parameters. Thus only the mean will be plotted for the remainder of the charts.

D. Levels of Audiences

Chart V is a bar graph showing the average usage for all the reporting states. Chart VI is a line graph showing average number of requests for states with agents, and Chart VII shows averages for states without agents.

These charts show the levels of clients who have used the EEP. These levels are defined as :

State	High School
Federal	Middle School
Local or Intermediate Education Agency	Elementary School
Higher Education	Kindergarten

For use in these charts, K-12 symbolizes kindergarten through the twelfth grade. The number of requests from federal agencies in the reported data was negligible.

Chart V illustrates that the number of requests made by the SEA (State Education Agency) varies little through the year. This indicates a direct relationship of the number of SEA requests to the workload which is year-round for the SEA administrators.

The local education agency, on the other hand, works much more closely with the local schools and peaks in the spring months. The related usage curves for the LEA and K-12 possibly may reflect publicity programs aimed simultaneously at both groups.

Universities did not use the EEP at all during the first summer quarter, and during the spring, there was again a sharp drop in usage by university staff. This may be a result of the publicity aimed at universities, or the interests of the staff. States may want to

Chart V

MAJOR AUDIENCE LEVELS USING THE EEP

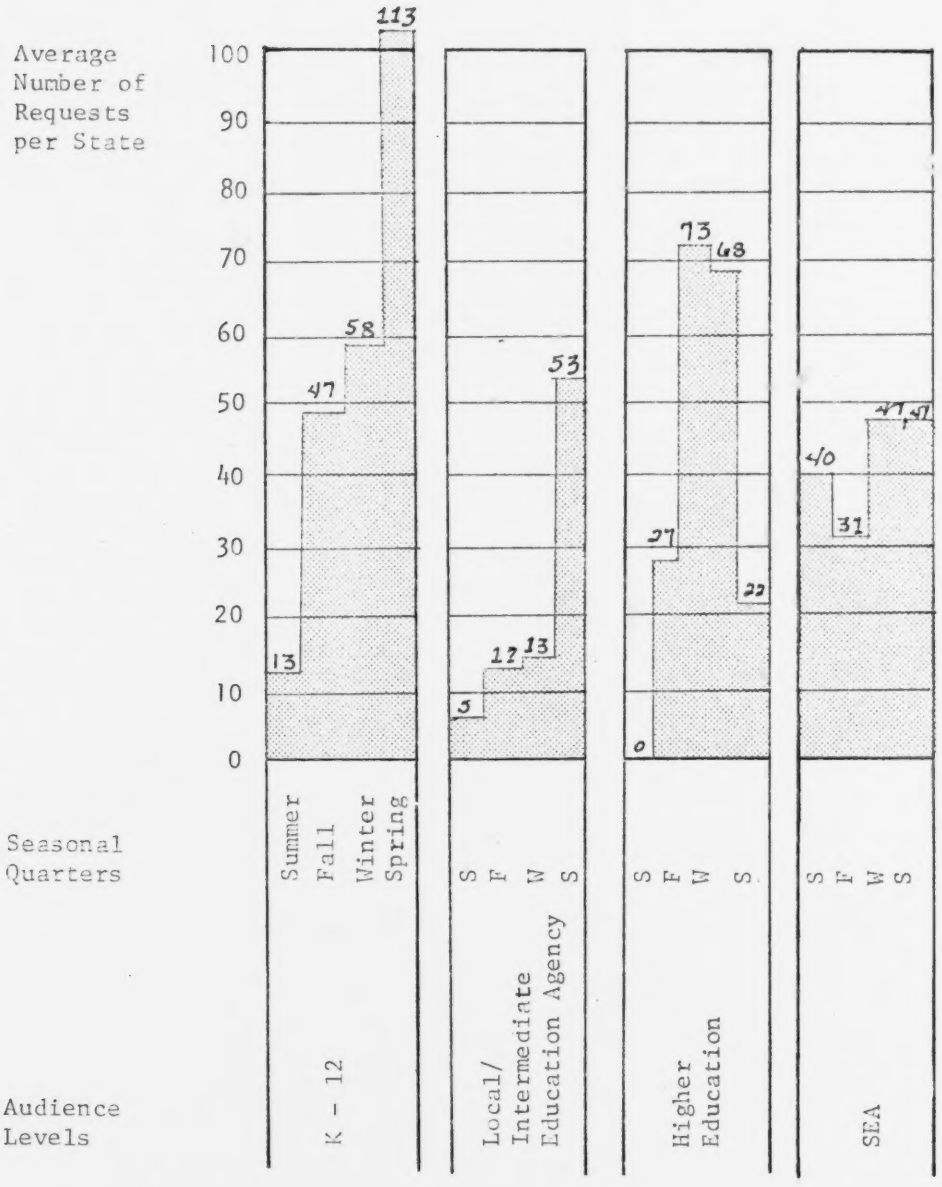


Chart VI

MAJOR AUDIENCE LEVELS USING THE EEP

BY STATES WITH AGENTS

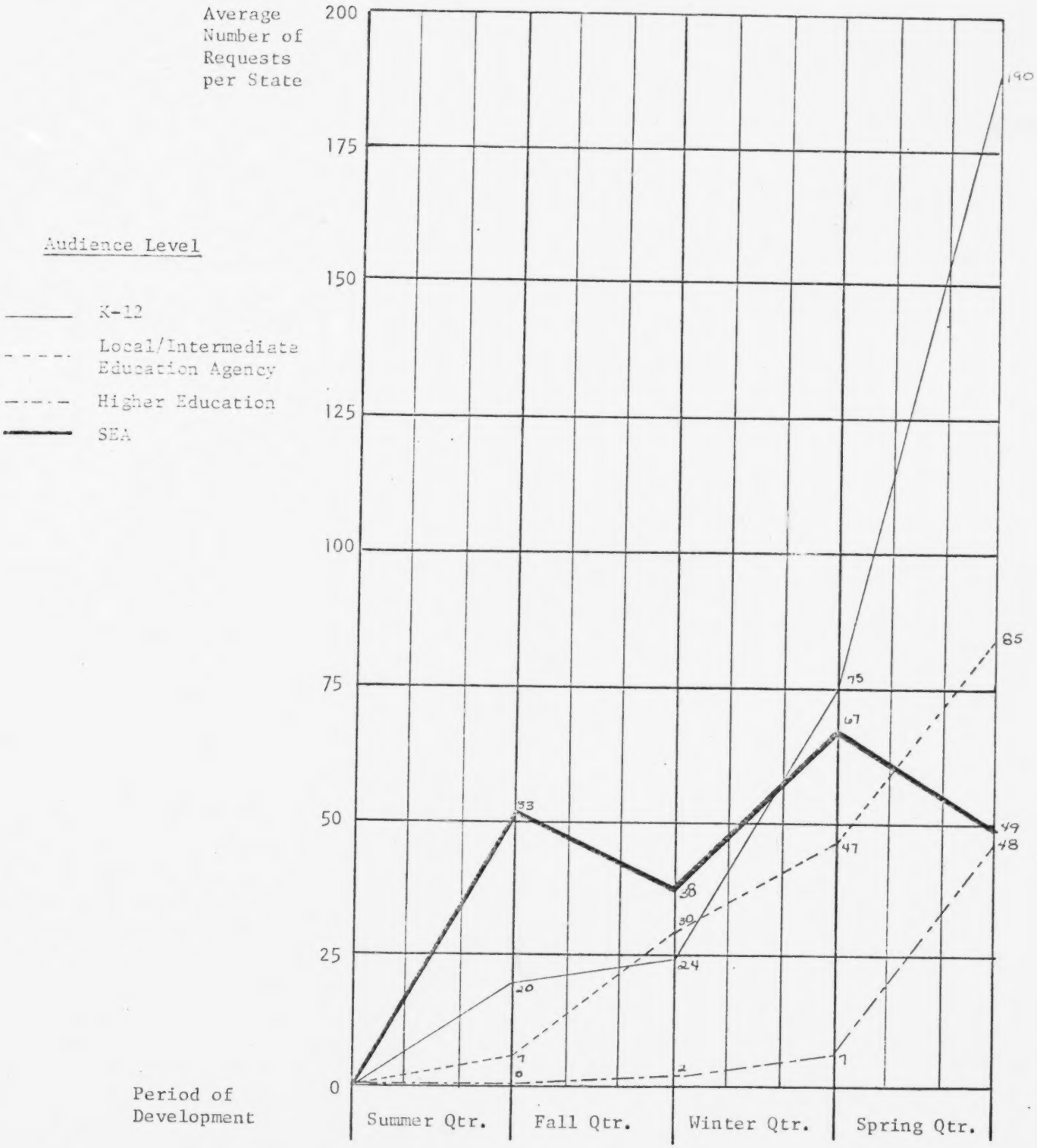
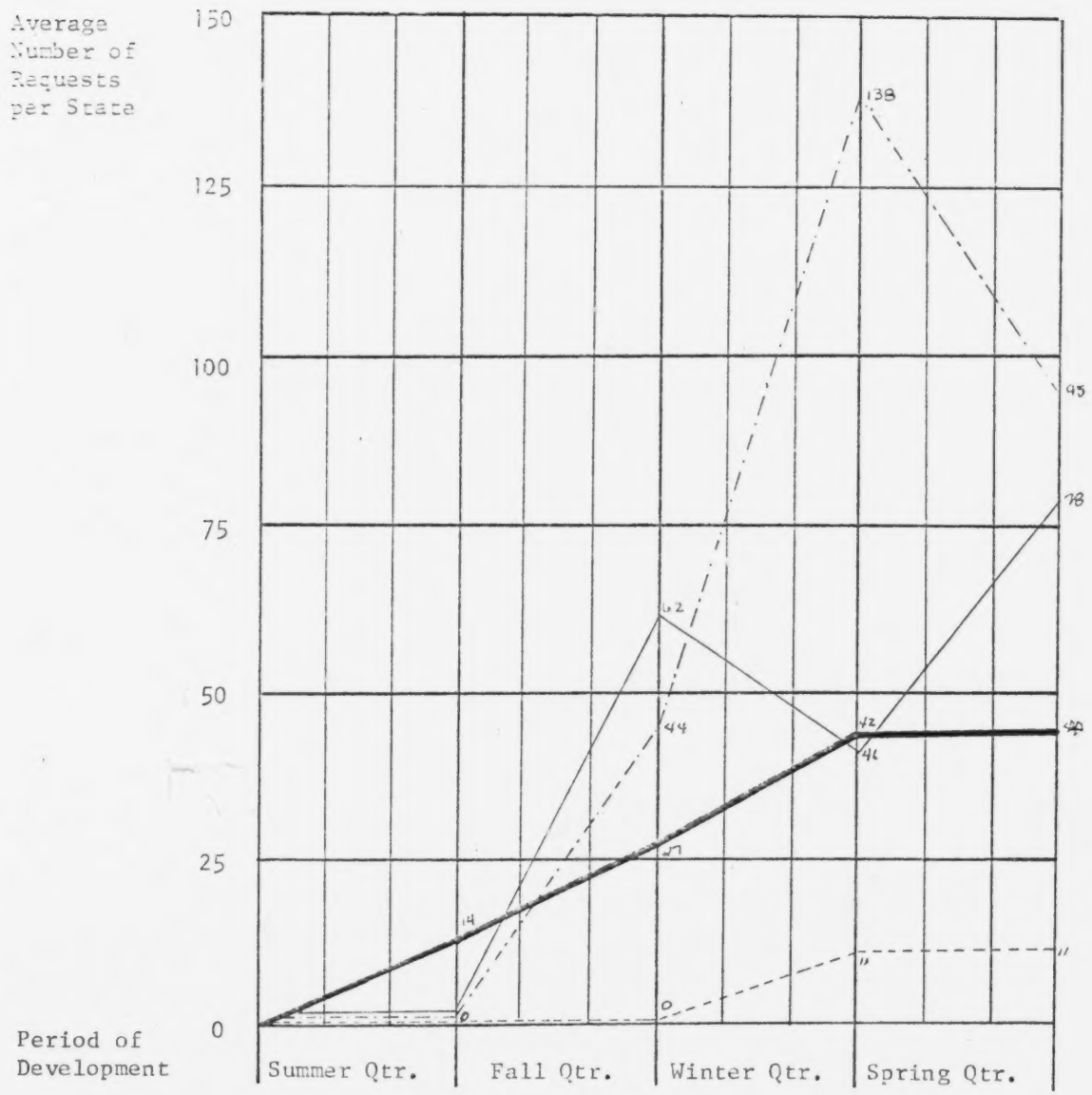


Chart VII

MAJOR AUDIENCE LEVELS USING THE EEP
BY STATES WITHOUT AGENTS



monitor usage by the universities to more accurately explain the changes in the number of requests.

Chart VI: In states with agents, the local schools increased their participation in the EEP most greatly. Data not shown on the graph indicates that usage by the local schools drops during the summer quarter, to rise again in fall. Usage also increased through the year for the local education agencies and the universities, with the universities participating less than the other groups. The usage by SEA remains the most consistent throughout the year.

Chart VII: It can be assumed that states without agents rely more on brochures, slide presentations by Retrieval Center staffs, and Educational Newsletters to publicize the program. This difference in approach has most neglected the local education agencies.

Comparison of Charts VI and VII provides the following observations: the usage by the SEA increased gradually, approximately the same for states with and without agents. Universities used the EEP much more in states without agents than in ones with agents. However, states with agents were more effective in working with local school staffs and teachers.

Usage in states with agents shows constant growth; however, in states without agents, the rate is much lower, and there is a major drop in usage during the winter quarter.

During the first quarter of development, states without agents received no requests from three of the four audience levels in contrast to states with agents which received requests from all but one level. Note, however, that overall requests (Charts I and II) were

greater in states without agents. From this it should be assumed that states without agents involved a wider range of participants than states with agents.

E. Types of Audiences

Chart VIII is a bar graph showing the average usage for all the reporting states. Chart IX is a line graph showing average number of requests for states with agents, and Chart X shows averages for only those states without agents.

These charts show the types of clients who have used the EEP. These types are defined as:

Students	Researchers
Teachers	The Public
Administrators	Policy Board Members
Learning Resource Specialists	Information Agents
Pupil-Personnel/Counselors	

Data is not currently available for all of these audience types, so only the major groups are reported: students, teachers, administrators, and learning resource specialists.

Chart VII indicates that all the states follow the pattern of using the EEP most frequently in the fall and spring, but with the most consistent year-round usage by Administrators and Learning Resource Specialists.

Charts IX and X show the usage by the three types - Teachers, Administrators, and Learning Resource Specialists, which includes Education, Media, and Curriculum Specialists - in the states with agents, and without agents, respectively.

In Chart X the similarity of the curves could represent response to publicity campaigns aimed at all audience types simultaneously. States with agents, because of the human factor, may tend to focus on certain groups; this is in contrast to states without agents.

Chart VIII

MAJOR AUDIENCE TYPES USING THE EEP

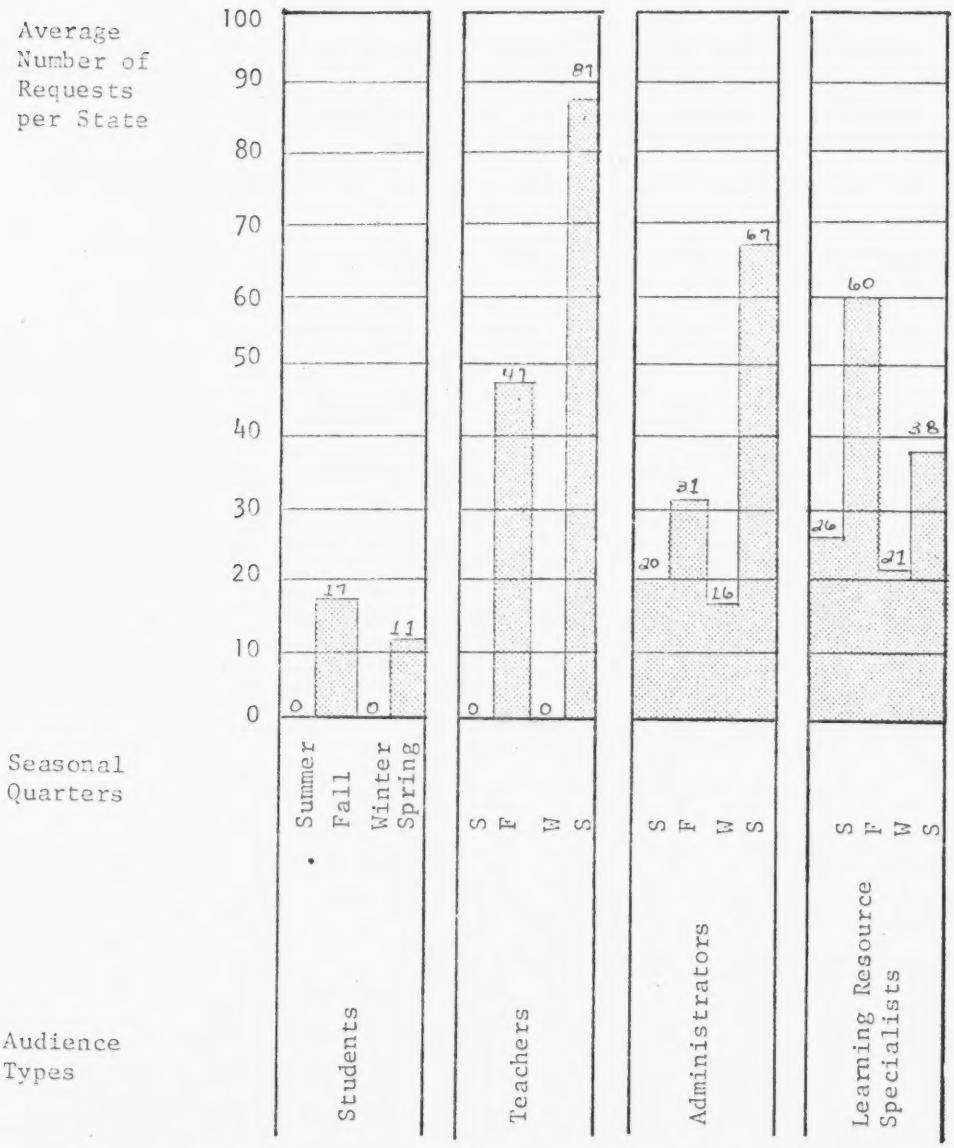


Chart IX

MAJOR AUDIENCE TYPES USING THE EEP

BY STATES WITH AGENTS

Audience Type

———— Teachers

– – – – Administrators

—·—·— Learning Resource Specialists

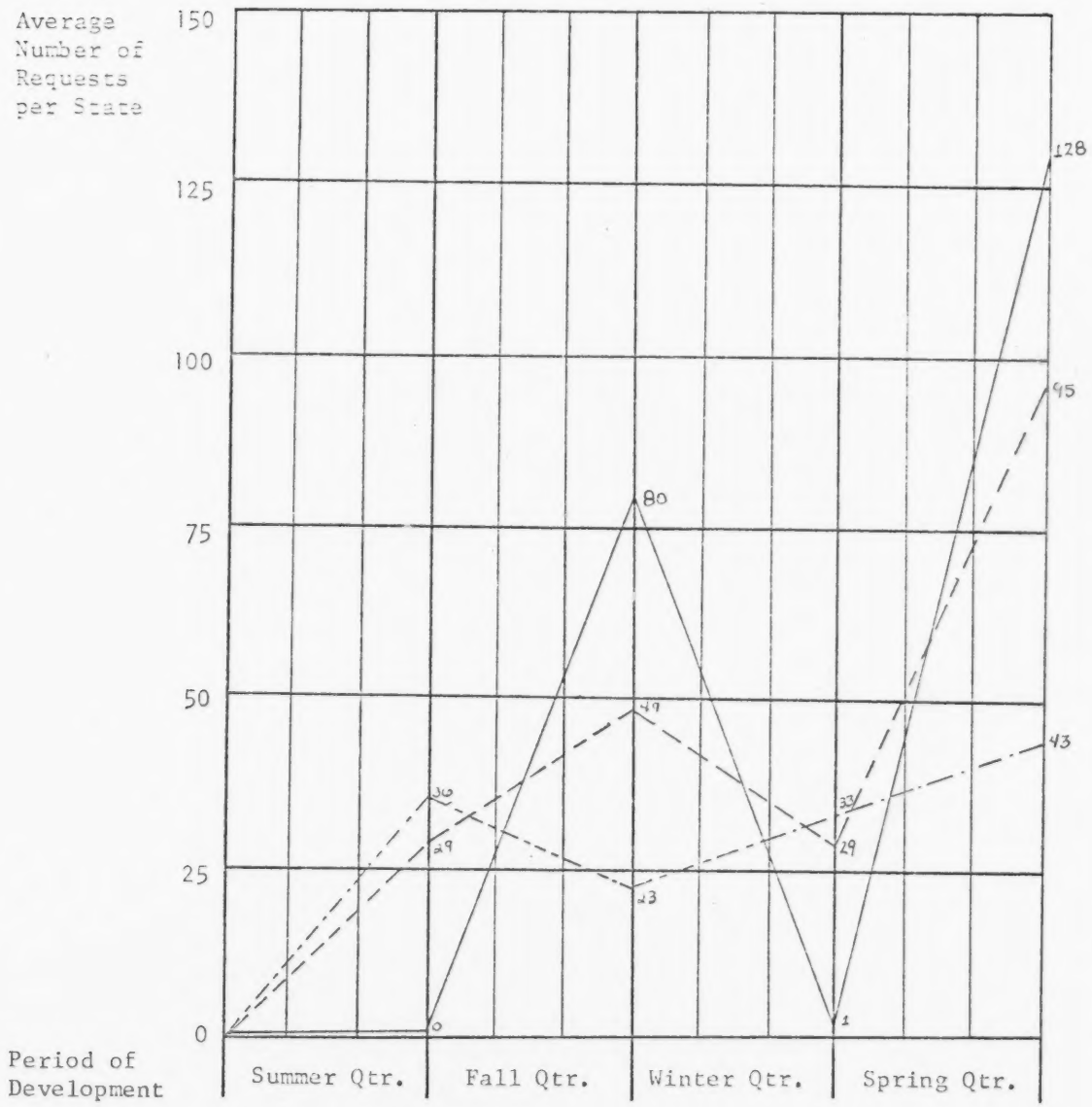
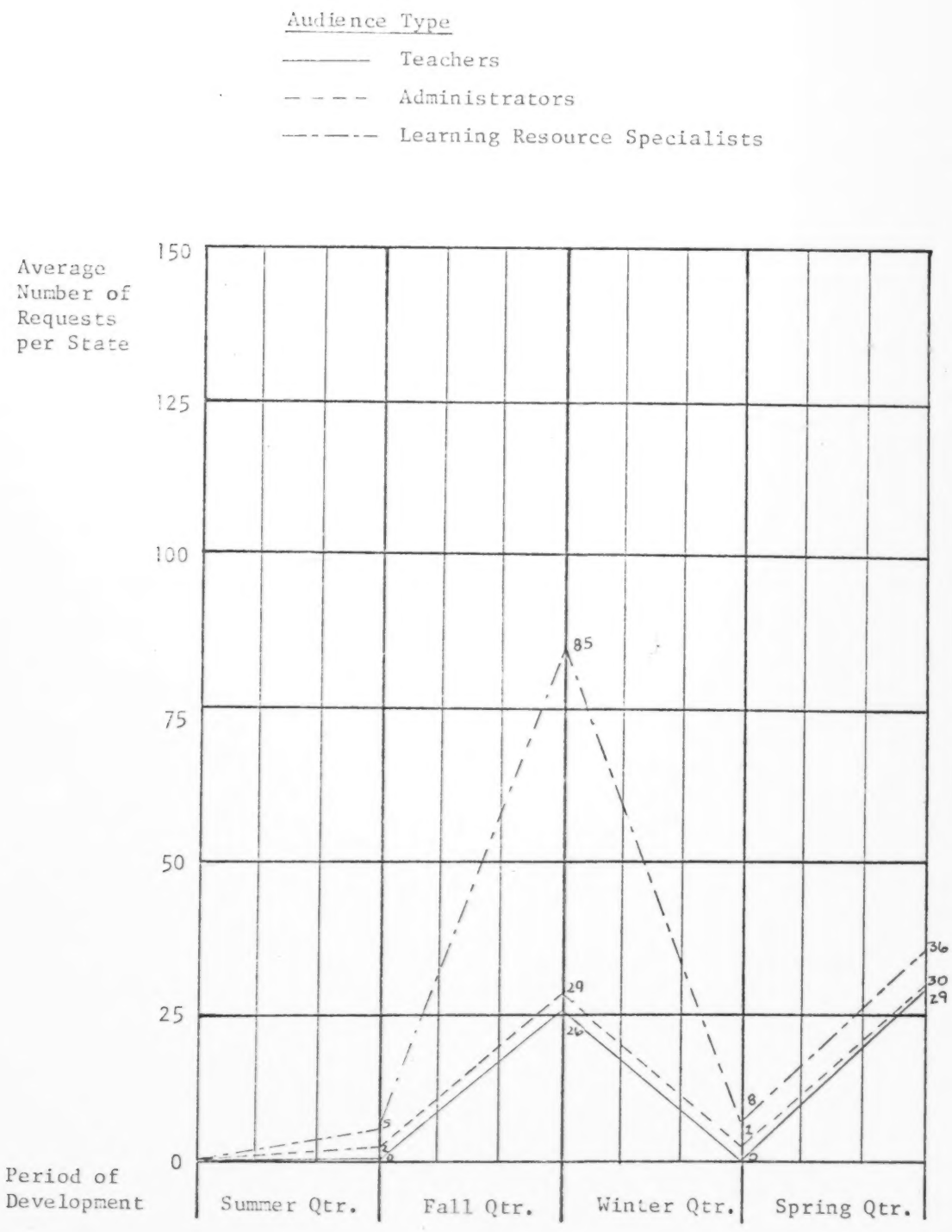


Chart X

MAJOR AUDIENCE TYPES USING THE EEP
BY STATES WITHOUT AGENTS



In comparing Charts IX and X, the most obvious difference to be observed between states with and states without agents is the greater number of teachers who participate when agents are involved; administrators also use the EEP with increasing frequency when there are agents. States without agents were more successful with Learning Specialists, especially in the winter.

Though Charts IX and X indicate more usage in states with agents, the data in Chart IV shows a greater overall usage in states without agents. This comparison is an indication that agent programs focus on these three groups - teachers, administrators, and Learning Resource Specialists - while non-agent programs are utilized by a broader range of audience types. The rate of increase in the utilization in states with agents portends better future participation than the rate for the states without agents for these three groups.

F. Study of Individual Clients

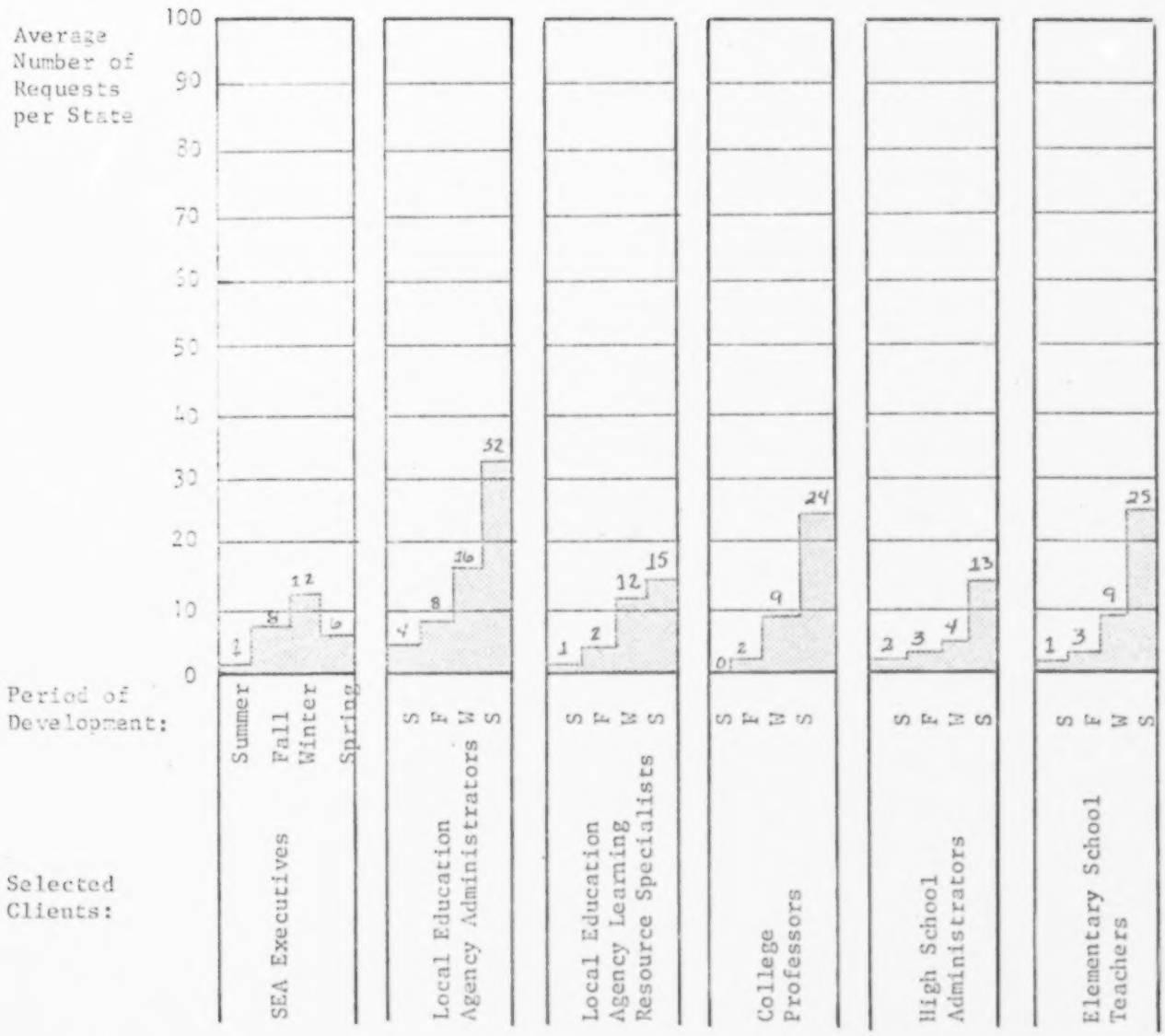
Chart XI displays an analysis of selected clients of the EEP. The clients represented are chosen from among the most frequent users, but were individually selected to show the broad spectrum of EEP clients.

Chart XI provides interesting observations such as the drop-off by SEA executives during the spring, and the consistent use by LEA (Local Education Agencies) Learning Resource Specialists. Also of interest is the similarity of the curves for all participants who work closely with the schools, i.e., the heavy use in the spring by Teachers, High School Administrators, Professors, and LEA Administrators.

It was not possible to study these groups separately in agent/

Chart XI

SELECTED CLIENTS WHO HAVE MOST USED THE EEP

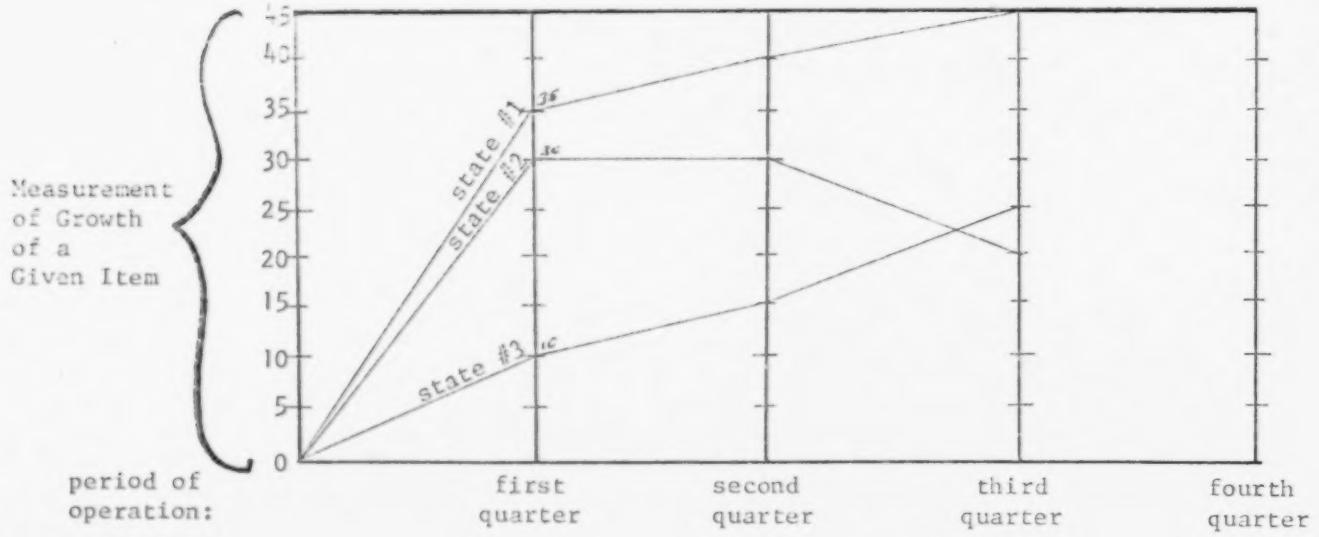


non-agent programs because of data unavailability. This is because the states with agents tended to report the users in individual categories such as those in Chart XI; however, the states without agents generally reported in broad groups such as all teachers, all administrators, or all SEA; all LEA, all K-12, etc., making it impossible to determine usage for individual categories.

3-IV DERIVING PARAMETERS

Parameters of the experimental programs to be monitored by NIE can be easily calculated once an adequate flow of information is established using the Reporting/Data Collection System of Tasks III, IV, and V, reference contract.

The following information can be used as a model of one of the capabilities NIE will have once the firm data base is available: NIE can collect the data from the various states using the Operational Statistics form (figure 2), and graph the information for each quarter using the following model:



The mean of the states can be computed using the formula:

$$\text{mean} = \frac{\Sigma X}{N}$$

where Σ is the sum

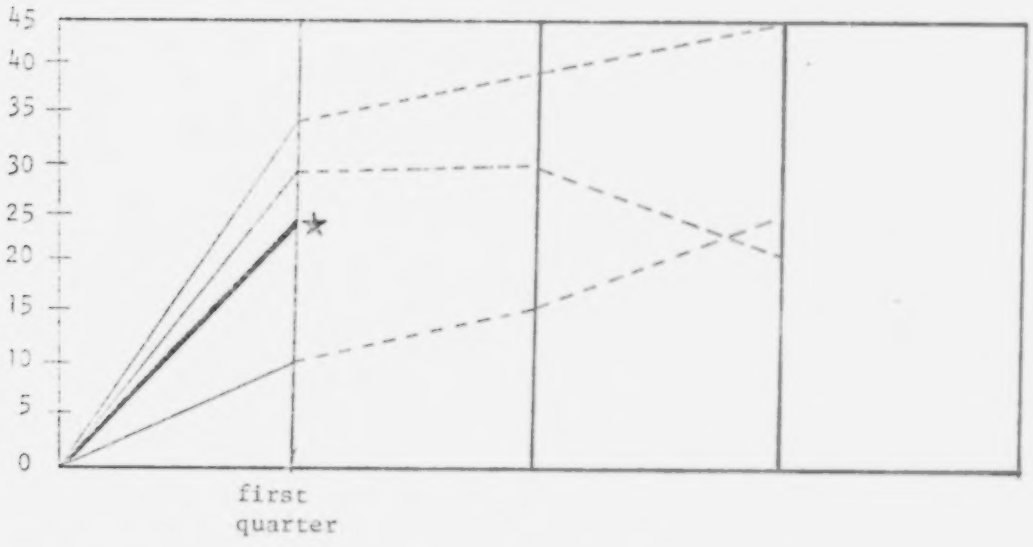
X stands for the individual scores during a given quarter

N is the number of states reporting

Thus, the sum of all the scores during a quarter divided by the number of scores give the mean. Using the above example:

$$\frac{\Sigma X}{N} = \frac{(35 + 30 + 10)}{3} = \frac{75}{3} = 25$$

Thus, 25 is the mean for the first quarter.



★mean = 25

To determine the parameters for a normal curve, using $\pm$ 1 standard deviation in which 68.27% of the scores will fall during the given quarter, the following formula may be used:

$$s = \sqrt{\left(\frac{\Sigma X^2}{N}\right) - \left(\frac{\Sigma X}{N}\right)^2}$$

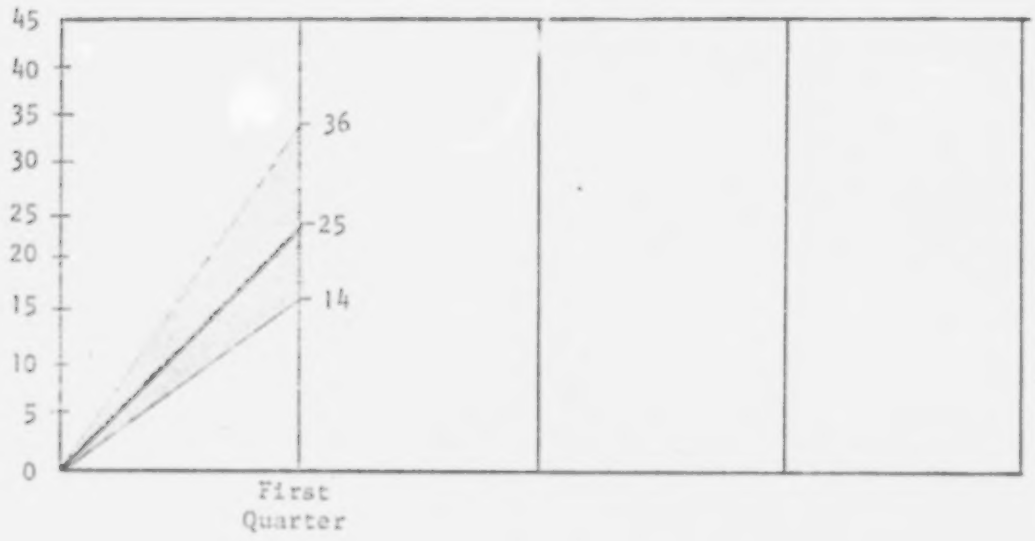
where s = Standard Deviation

Using the above example:

$$s = \sqrt{\frac{35^2 + 30^2 + 10^2}{3} - \left(\frac{75}{3}\right)^2}$$

$s = 10.8$

For the above illustration, with the mean (25) $\pm$ 11 gives the parameters of 36 and 14:



NIE can then project that 68.27% of the states developing new programs will have scores for that quarter falling within the range of whatever parameters are determined using this method.

CHAPTER 4
CRITERIA FOR USE IN EVALUATION OF PROPOSALS

4-I GENERAL

The criteria for selection of states to join the EEP are an important part of the national program. It requires a well defined definition of the program to be provided by the NIE staff, and thus gives a clarity of purpose to the total experiment of the EEP. Likewise, states wishing to participate can more realistically determine their own capabilities in accomplishing the National Goals for the Educational Extension Program.

In assessing their capabilities and presenting their plans in the proposal (Plan of Work), states must know on what basis their Plan of Work will be judged. For this reason, the actual evaluation form (see paragraph 4-IV) and procedures (paragraph 4-III) for reading and evaluation of the proposals, are to be included in NIE's Program Guidance Document.

The Proposal Evaluation Form covers the same information that is required in the State Plan of Work Description and the Program Guidance Document. The actual form is provided to the states so they can see the exact criteria for evaluation to be used by the NIE staff and field readers in evaluating the Plans of Work.

4-II DESIGNING THE FORM

This chapter, tracing the history in the design of the evalution form, is provided to outline procedural steps for adding other items to

the form or redesigning it. The evaluation form, as included here, is to serve as a model and should be amended to reflect new Federal guidelines or new emphases in the program as they develop.

To design the form the major goals in the development of the Experimental Program were determined. These were:

1. Establishing the Retrieval Center
2. Establishing the Linking Program
3. Establishing the System for Collecting and Reporting Data
4. Establishing an Evaluation System

To accomplish each goal and assure its success, certain basic components must be carefully planned. In most cases these are:

Operation and Maintenance

Personnel

Support

State Contribution

Where appropriate, up to two points were awarded for each planning component which was successfully designed in support of the goals.

Providing another perspective on the program were certain planning elements which were stated as requirements for the Plan of Work (proposal). These planning elements each analyzed the proposed state program according to individual criteria and measurements; they provided important perspectives on the potential success of the program. The required Planning Elements were:

1. The Organization Chart of the SEA showing the position of the EEP

2. The Objectives and Activities recorded on the Statistical/ Narrative Form (Part I).

3. A Graphic Representation, such as a PERT Chart or a Line Graph, showing sequence and interrelationships of activities.

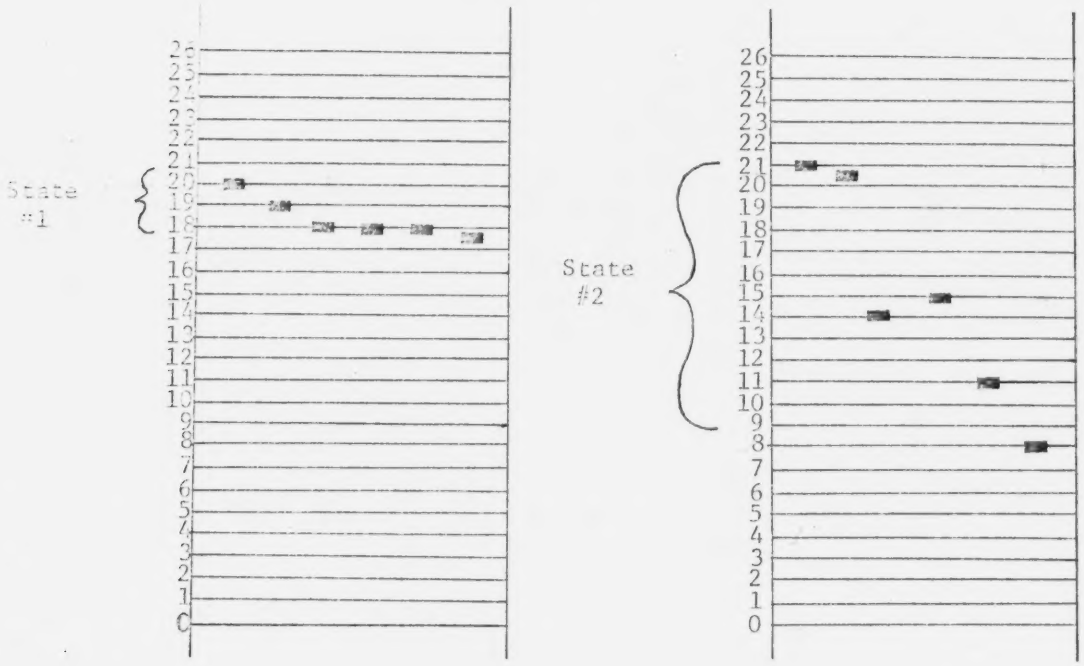
4. The budget showing total funds for the program year in the context of the proposed activities and the federal portion of those funds.

5. The EEP Director and/or Manager with names, titles, addresses and resumes in the context of assigned duties.

All the items in the evaluation form were judged as to their relative importance to the program, and the scores were weighted accordingly.

The evaluation form was then tested on two proposals by six persons for a total of twelve times. The readers consisted of four persons on staff at NEB, three ETI professionals familiar with the EEP Program, and two ETI staff members not familiar with the EEP.

The distribution of scores for each state was:



The proposal submitted by State #1 more closely resembles the content and format of proposals which will be submitted under the newly designed criteria for the Plan of Work, thus explaining the clustered distribution of scores for State #1 in contrast to the inconclusive range of scores for State #2.

Scores for the individual items on evaluation were then calculated for the range of discrepancy. For those items whose score ranges were too wide, the element causing discrepancy was more carefully defined or eliminated.

Space for narrative explanation was then included for each item in order to elicit from the reader his or her opinions and a notation of highlights.

A narrative is considered more important than the score for anything beyond a peripheral impression. For this reason, the third section of the evaluation form requires the reader to

-- list his observations

-- point out highlights

-- point out inconsistencies, and

-- make recommendations to the State and NIE

With the combined score and narrative explanation, NIE officials responsible for the EEP can gain an immediate perspective of potential for the state's program and quickly learn the major elements to be commended or revised.

4-III PROCEDURES

All states will be sent a copy of the Program Guidance Document which will announce the EEP. States wishing to participate must then submit a Letter of Intent. They will then be sent a copy of the Plan of Work (proposal) requirements. This document, and the Program Guidance Document which contains the proposal evaluation criteria, will then be used by the states as guides in writing their proposals.

These proposals, when received by NIE, will be reviewed and evaluated by at least three field readers. These field readers will be chosen because of their special competence in Education or Information Dissemination.

Each field reader must be given

1. a copy of the proposal
2. a copy of the Evaluation Form
3. a copy of the Program Guidance Document
4. a copy of the Plan of Work requirements

The readers are to return the proposal and their evaluation within one week of receipt. The estimated time required to read, evaluate and write the narrative explanation for each proposal is 3-4 hours.

In addition to the field readers, at least two persons on the staff of NIE should read each proposal <u>using only the evaluation form</u>. This is required in order to provide a consistency in the scores when combined with the scores assigned by the outside readers.

Once all the reports are in from the outside readers and NIE staff, the mean scores from all the states should be used to rank the proposals. This simply gives a comparison based on the strengths of

the proposals themselves. NIE should then convene a panel of the staff members involved with the EEP, including the two who evaluated the proposals. All panel members must have reviewed the proposals to be discussed and all evaluations before the panel meets.

NIE panel members must determine the direction and priorities of the national program and evaluate the proposals in that light. Obviously, priorities may change from year to year and no standard evaluation form would be adequate; although NIE staff should use a written document of program direction as a basis for their judgments. The panel would present a written recommendation listing suggested modifications.

Items which NIE should consider in terms of the national priorities of the program include:

Geographic distribution of the participating states

Demographic variation of target districts in the national program

SEA's ability to deal with NIE and the constraints of experimental programs

Hypotheses of the EEP experiment which need to be tested in different target areas

State's need, i.e., dollars spent per child, pupil-teacher ratio, etc.

Benefits derived from the experimental program, i.e., impact the EEP will have on education in the State

Spin-off effects which might benefit other states in its region

In making the final selection of states, the priorities of the National EEP should be considered along with the scores of the field readers. The system recommended for the panel to do this is to first

use the hypotheses to be tested and national priorities to determine the broad groups for selection for the EEP experiment. At this point careful attention must be given to the reader's scores. For instance, it would be foolish to award a grant to a state whose proposal received a low score - showing that their planning and other program elements were weak. Likewise, a state with a top score should be considered for a grant based on its own merits and its potential for providing a viable alternative to the National EEP.

Once preliminary selection is made, the program weaknesses noted by the readers and panel should be negotiated, replanned and strengthened before the final grant is made. In addition, an NIE official may wish to make a field visit to the facilities and interview the personnel who will be working to establish the EEP.

In summary, the following procedures must be followed in selecting a state for award of an EEP grant.

Proposal evaluated by three field readers using the evaluation form

Proposal evaluated by two NIE officials using the evaluation form

Proposals to be considered by a panel of NIE staff, including the two NIE readers, in the context of National EEP direction and priorities, and the evaluation score

Preliminary selection of states

Site visit by NIE official (optional)

Negotiation of program discrepancies

Final selection of states for grants

4-IV EVALUATION CRITERIA FORM

NIE: Tear off this sheet when the completed evaluation is returned.

- -

EDUCATION EXTENSION PROGRAM
EVALUATION OF STATE PROPOSALS
INTERNAL RECORD

To be filled in by NIE:

TO: *Mr. Joseph Small* DATE SENT FROM NIE: *5/6/73*

(Address)

STATE: *Arkansas*

PROPOSAL TITLE: *Arkansas Education Dissemination Project Proposal*

PURPOSE: *Evaluate attached Proposal for NIE Grant*

DATE REQUIRED: *Postmarked by 5/13/73*

ENCLOSURES: *1 Proposal, 1 Evaluation Criteria Form, 1 copy of Plan of Work (Proposal) requirements, 1 copy of Program Guidance Document*

- -

DATE: _____

TO: NATIONAL INSTITUTE OF EDUCATION
400 MARYLAND AVENUE, S.W.
WASHINGTON, D.C. 20202

Proposal evaluation has been completed.

DATE RECEIVED BY UNDERSIGNED: _____

DATE COMPLETED: _____

MANHOURS EXPENDED: _____

_____
Signature

_____
Name

_____
Title

EVALUATION CRITERIA for STATE PROPOSALS
to the EDUCATION EXTENSION PROGRAM

State Submitting Proposal: _____

Name of Reader: _____

Area of Competence: _____

This form is to be used by all persons, NIE staff and field readers, in evaluating the proposals sent by states wishing to participate in the EEP. The proposal should be evaluated in the context of the Program Guidance Document and Plan of Work guidelines. (The maximum possible score is 50 points.)

Summary of Points (to be filled in last)		Points Awarded	
Section I:	Program Development		
ITEM 1:	ESTABLISHING THE RETRIEVAL CENTER	_____	(0-8)
ITEM 2:	ESTABLISHING THE LINKING PROGRAM	_____	(0-8)
ITEM 3:	ESTABLISHING THE SYSTEM FOR COLLECTING AND REPORTING DATA	_____	(0-6)
ITEM 4:	ESTABLISHING AN EVALUATION SYSTEM	_____	(0-6)
Section II:	Planning Elements		
ITEM 1:	ORGANIZATION CHART	_____	(0-4)
ITEM 2:	OBJECTIVES AND ACTIVITIES	_____	(0-6)
ITEM 3:	GRAPHIC REPRESENTATION	_____	(0-4)
ITEM 4:	BUDGET	_____	(0-4)
ITEM 5:	DIRECTOR	_____	(0-4)
	Total:	[ ]	(0-50)

Notation of strong and weak elements of the program:

I ____ do
____ do not
____ provisionally
recommend this proposal be accepted for a grant. (State any provisions.)

Signed: _____

Date: _____

Section I: Program Development

This section analyzes the proposal according to four major components of the program development. Each component can receive a maximum of 2 points using this system:

Award 0-2 points: The OPERATION AND MAINTENANCE aspects of this item are well planned; that is, the proposed activities, technical requirements, program strategy, justification, and management are described sufficiently enough to assure the reader that the program has a reasonable chance for success.

Award 0-2 points: The PERSONNEL requirements, definition of who will perform the given tasks or job descriptions, criteria for selection, plans for recruitment and training, and the availability of persons with the required skills will produce the competence required to make the program successful.

Award 0-2 points: The SUPPORT items such as funds, office space, clerical assistance, supplies, computer time, etc., are provided in sufficient quantities to assure the reader that the listed program item will function successfully.

Award 0-2 points: There is STATE CONTRIBUTION to this item in terms of funds, personnel, in-kind support, and/or other resources in sufficient quantities to convince the reader of the state's interest in continuing and strengthening the program.

- -

ITEM 1: ESTABLISHING THE RETRIEVAL CENTER: This includes access and utilization of computer facilities, ERIC files, consultants, and/or other resources for gathering and processing the requested information.

Awarding of Points:

Operation and Maintenance	_____	(0-2)
Personnel	_____	(0-2)
Support	_____	(0-2)
State Contribution	_____	(0-2)
Total Points Awarded:	[ ]	(0-8)

Section I (con't.)

ITEM 2: ESTABLISHING THE LINKING PROGRAM: Providing information to the user through the selection of target districts, planned publicity, assessment of needs, establishment of communication links, and later follow-up of assistance constitutes the essential function of the Linking Program.

Awarding of Points:	Operation and Maintenance	_____	(0-2)
	Personnel	_____	(0-2)
	Support	_____	(0-2)
	State Contribution	_____	(0-2)
	Total Points Awarded	_____	(0-8)

Brief Explanation:

ITEM 3: ESTABLISHING THE SYSTEM FOR COLLECTING AND REPORTING DATA: This sets the procedures and defines the data necessary for monitoring the internal processing of information requests. A state may choose to monitor such data as frequency and subject of each request, location and job title of each user, expended manhours per request, turn-around time, and/or other data. This monitoring is necessary for measuring efficiency and for making management decisions.

Awarding of Points:	Operation and Maintenance	_____	(0-2)
	Personnel	_____	(0-2)
	Support	_____	(0-2)
	Total Points Awarded	_____	(0-6)

Brief Explanation:

Section I (con't.)

ITEM 4: ESTABLISHING AN EVALUATION SYSTEM: A strategy for assessing the effectiveness of the internal processing, the usefulness of the information provided, and the user's satisfaction are parts of a program's self-evaluation. Of equal importance is a system for gathering impact and cost benefit data from target and control populations.

Awarding of Points:

Operation and Maintenance	_____	(0-2)
Personnel	_____	(0-2)
State Contribution	_____	(0-2)
Total Points Awarded	[ ]	(0-6)

Brief Explanation:

Section II: Planning Elements

This section analyzes the proposal by examining items that the state is required to include in the proposal. Assign points according to the following schedule:

Award no points: The item was not included in the proposal.

Award 1 point: The item was included, but does not contribute to the program.

Award 2 points: The item is included, but the planning is insufficiently developed.

Award 3 points: The reader is convinced that the item is sufficiently planned and designed to assure success.

Award 4 points: The reader is convinced of the success of this item and particularly impressed by its planning and contribution to the program.

ITEM 1: The ORGANIZATION CHART OF THE SEA showing the position of the EEP: The reader should note if the directorship of the EEP is sufficiently high in the state organization to facilitate acceptance of EEP proposals to the State level.

Points Awarded: [ ] (0-4)

Brief Explanation:

Section II (con't.)

ITEM 2: The OBJECTIVES AND ACTIVITIES recorded on the Statistical/ Narrative Form (part I): Are the state objectives correlated to NIE objectives, and do their numbers reflect this? Are the listed activities sufficient for accomplishing the objectives? Are the dates, manhours, and costs assigned to each objective and activity realistic? That is, are they sufficient to assure that the activity can be accomplished? (Up to 6 points may be awarded if and only if all of the above criteria are exceptionally well planned.)

Points Awarded: [ ] (0-6)

Brief Explanation:

ITEM 3: The GRAPHIC REPRESENTATION, such as a PERT Chart or Line Graph, showing sequence and interrelationships of activities: The reader should examine the management plan of the proposal thus graphically illustrated to determine: Are the activities planned in a realistic sequence? Are the interdependencies illustrated? Are the manpower needs evenly distributed in the context of the interrelationships? And are the completion dates realistic?

Points Awarded: [ ] (0-4)

Brief Explanation:

ITEM 4: The BUDGET showing total funds for the program year in the context of the proposed activities, and the federal portion of those funds: The reader should examine the plan for hiring staff, and the salary levels of each; these should be sufficient for developing the program but not overinflated. The reader should also examine the costs such as overhead, travel, direct cost, and other listed items.

Points Awarded: [ ] (0-4)

Brief Explanation:

ITEM 5: THE EEP DIRECTOR AND/OR MANAGER: names, titles, and resumes in the context of the assigned duties. The reader should determine: Do the proposed director and/or manager have the necessary experience; administrative, technical, and management skills; and sufficient knowledge of information dissemination to establish and direct the EEP?

Points Awarded: [ ] (0-4)

Brief Explanation:

Section III: Narrative Explanation

The reader should record his or her general reactions, point out highlights or inconsistencies, and make recommendations to the State and NIE. (Attach additional sheets if necessary.)